# Introduction

The Individuals with Disabilities Education Act, as amended in 2004, requires that states carry out monitoring and evaluation activities to determine the effectiveness of educational programs in meeting the needs of students with disabilities. The Arizona Department of Education, Exceptional Student Services, (ADE/ESS) views effectiveness as:

- Meeting the procedural requirements of the statutes **and**

- Ensuring quality learning and life outcomes for children
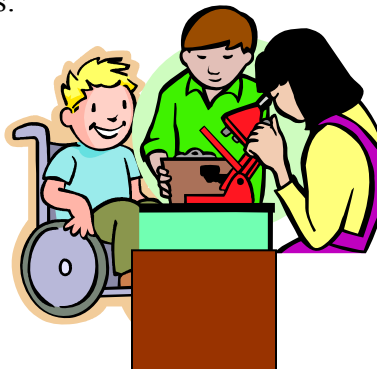
ESS Monitoring Model

Beginning with the 2006-2007 school year, the Arizona monitoring system has been revised to individualize the procedural compliance items used for each public education agency (PEA). The items selected for a PEA will be based on the following factors:

- The governance structure of the PEA – Unified, union, or elementary district or grades served for a charter school, and;

- The outcomes for students with disabilities on performance indicators identified by the U.S. Department of Education and reported by the state in the State Performance Plan.

A set of "general core" items has been identified as foundational to the provision of a free, appropriate public education (FAPE) and these items must be addressed by all PEAs through the monitoring. In addition, two age-specific core areas have been identified as essential for PEAs that serve each age group. The "preschool core" must be addressed by all unified and elementary districts and the "transition core" must be addressed by all unified and union districts, and all charter schools enrolling students 16 years of age and older.

The remaining procedural requirements of the law have been sorted into "clusters" that are most closely associated with specific indicators of student performance or outcomes and to procedural safeguards. The clusters for the 2006-2007 monitoring year are:

Graduation and dropout	Least restrictive environment
Reading proficiency	Special education population
Suspension/expulsion	Disproportionality
Prior written notice	

The cluster(s) that will be included in a specific PEA's monitoring will depend upon the results the PEA has demonstrated in each of the clusters. For example, a PEA with a low graduation rate or high dropout rate will investigate the compliance items most closely associated with keeping students in school through high school completion. If that same PEA demonstrates

adequate performance in LRE, they would not need to investigate the line items associated with that cluster.

As compliance with all procedural requirements of IDEA is required, the ADE/ESS will assist PEAs to meet all requirements by continuing to provide the full range of monitoring line items for self-assessment and improvement planning.

Because procedural compliance is only one element of good outcomes for students, PEAs will also be required to "drill down" to determine root causes in areas of poor performance. PEAs will be asked to drill down in a maximum of two areas during their monitoring year. Each drill down will be guided by (but not restricted to) ESS-provided directions.

Because Arizona has found it beneficial to include PEA staff as active partners with ADE/ESS in examining the implementation of programs and delivery of special education services, all PEAs will participate in some level of collaborative monitoring. The level of independence exercised by the PEA will be determined by ESS. As the PEA assumes additional responsibility for its oversight process, funding from ESS will increase.

There are four monitoring levels for FY 2007. They are:

Level 4: The PEA team leads and works independently in all areas. ESS verifies the findings. The PEA will have up to 3 months to complete the monitoring activities.

Level 3: The PEA team leads and works independently in some areas and ESS staff is on site for other activities. The level of independence is determined jointly by ESS and the PEA. The PEA will have up to 3 months to complete the monitoring.

Level 2: The PEA team and ESS team work together to complete the monitoring with some tasks completed by the PEA staff after training by ESS. Monitoring activities will usually be completed within one week. The PEA must have an agency team as active participants.

Level 1: Active participation of some PEA staff but with no independent work. Monitoring activities will be completed within one week. The PEA may have only one person present.

Funding for Various Levels

Special Education Student Count	Level 1	Level 2	Level 3 Level 2 amt Plus	Level 4 Level 2 amt Plus
1,000 or more		$5000	$500	$1000
700 – 999	Substitute teachers pay only	$4000	$500	$1000
500 – 699		$3000	$500	$1000
100 – 499		$2000	$250	$500
99 or fewer		$1000	$250	$500

ADE/ESS will combine data from various reports submitted to ESS with input from the ESS program specialists and PEA administrators to determine the monitoring level for each PEA.

Approaches to Oversight

The ADE/ESS system is based upon the concept that oversight is an ongoing process that circles back on itself to ensure continuous program improvement.

The cycle for continuous program improvement is structured around activities over a 6-year period as follows:

Year 1: Review of policies and procedures;
Year 2: Collection of post-school outcome and parent participation data
Year 3: Preparation for monitoring;
Year 4: On-site compliance and performance improvement review;
Year 5: Corrective Action Plan (CAP) closeout;
Year 6: Implementation of improvement strategies in selected clusters

Methods and procedures used to implement the ADE/ESS oversight system are consistent, but flexible, in order to adapt to the varying needs of children, educational settings, and administrative realities.

Specific components for each step in the oversight cycle are detailed in the following document.

Monitoring Outcome Possibilities

Year 1-Review of revised special education policies and procedures

Status	Outcome
Compliance	Eligible to apply for federal funding
Non-Compliance	Ineligible to apply for federal funding

Year 4-On-site monitoring

Status	Outcome
In compliance on 4 of 5 sections of monitoring (including "Delivery of Services")	Eligible for a team registration at a selected ESS conference at no cost
Other	Technical assistance using monitoring tools for teaching

Year 5-Monitoring Closeout

Status	Outcome
Closed	Congratulatory letter and continuation of IDEA funding
Not closed	Progressive enforcement until compliance is achieved.

Progressive Enforcement Steps

If a PEA is unable to complete corrective action within a year from the monitoring exit conference date, the following steps will be taken to ensure improvement.

1	Interruption of IDEA payments until adequate compliance is achieved. For charter schools not receiving IDEA funds, a request for withholding of 10% of state funds.
2	Special monitor or permanent withholding of IDEA funds for a specific year. For charter schools not receiving IDEA funds, a request for withholding of 10% of state funds.
3	For charter schools, a request to the appropriate board for a notice of intent to revoke the charter.
4	With State Board approval, interruption of Group B weighted state aid.
5	Request to Attorney General for assistance in law enforcement.

Core Line Items
General Core (GC)

Line	Description
I.A.1.a	Child find policy reviewed annually by staff and documentation maintained.
I.A.1.b	Child Find procedures were disseminated to parents.
I.A.2.a	Invitation list and meeting agenda maintained.
I.A.2.b	Documentation of consultation process with private schools.
I.A.2.c	Documentation of service plan.
I.B.1.a	Required procedures for birth – 2.9 years child find were followed.
I.B.1.b	Required procedures for 2.9-5 years child find were followed.
I.B.1.c	Child find for K-12 grades occurs within 45 days of entry.
I.B.1.d	Follow-up occurred if concerns were noted on the 45 day or preschool screening.
II.A.1	Evaluation/reevaluation was conducted/eligibility was completed, including for phased-out students.
II.A.2.a	Evaluations/information provided by the parents including developmental, medical, and functional information was documented.
II.A.3	Team determined that existing data were sufficient or determined that additional data were needed.
II.A.4	Obtained informed parental consent or, for re-evaluation only, documented efforts to obtain consent.
II.A.5.a	Student assessed in all areas related to the suspected disability
II.A.5.b	For initial evaluation, the student was evaluated within 60 calendar days.
II.A.8	SAIS information is accurate.
III.A.1	Current IEP.
III.A.2	IEP reviewed/revised annually.
III.A.3	IEP team meeting included required participants.
III.A.4.a	IEP has PLAAFP.
III.A.4.b	Measurable annual goals related to PLAAFP.
III.A.4.d	How student's progress toward annual goals will be measured.
III.A.4.j	Consideration of extended school year.
III.A.8	Current progress report includes progress toward goals.
III.A.9	IEP reflects student educational needs.
IV.A.1	Services being provided as indicated in IEP.
IV.A.3	Continuum of service options available.
V.A.1	Staff understands confidentiality.
V.A.2.a	Procedural safeguards notice provided to parents within the last 12 months.
V.A.2.b	PWN sent to parents at required times in the last 12 months.
V.A.2.c	All required notices provided in language that is: 1. The native language of the parent. 2. Understandable to public.
V.A.2.d	Parents are active participants in all special education decisions.

Transition Core (TC)

Line	Description
III.A.5.a	Documentation that student was invited to meeting.
III.A.5.b	Documentation of one or more student articulated measurable goal(s).
III.A.5.c	Documentation that the post secondary goals were derived from appropriate assessment(s).
III.A.5.d	Documentation of one or more transition services/activities that support post-secondary goal(s).
III.A.5.e	The student's course of study supports the identified post-secondary goal(s).
III.A.5.f	By age 17, a statement of rights to transfer at age 18.
III.A.5.g	Documentation of academic achievement and functional performance of summary of exited students.

Preschool Core (PC)

Line	Description
AzEIP Alert	AzEIP invited LEA to transition meeting between 2.6-2.9 years.
II.A.10.s	PMD-At least, 1.5 SD and not more than 3.0 SD below the mean in two or more of the following areas: cognitive, motor, communication, social/emotional, or adaptive development.
II.A.10.t	PSD-More than 3.0 SD below the mean in one or more of the following areas; cognitive, motor, communication, social/emotional, or adaptive development.
II.A.10.u	PSL-Speech, which out of context, is unintelligible to an unfamiliar listener **AND/OR** at least 1.5 SD below the mean in language.
II.A.10.v	PSl-Documentation that the student is not eligible for services under another preschool category.
IV.A.2.a	PEA attended transition meeting.
IV.A.2.b	Transition plan is maintained.
IV.A.2.c	AzEIP representative was invited to the initial IEP meeting.
IV.A.2.d	FAPE made available on or before child's 3rd birthday.

Cluster Line Items

CL-1. Graduation Rate/Dropout Rate

Line	Description
II.A.6.a	Performance in educational setting and progress in general curriculum.
II.A.6.c	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum.
II.A.6.d	The impact of any educational disadvantage.
II.A.6.e	The impact of EL on progress in general curriculum.
III.A.4.f	Special education services to be provided.
III.A.4.g	Consideration of related services.
V.A.4.b	A FBA was conducted, or reviewed when already in place.
V.A.4.c	Behavior interventions were developed and implemented, or reviewed when already in place.
V.A.4.f	For suspension or IAES, Student continued to be provided FAPE, including services and adaptations described in the IEP.

CL-2. Performance on Statewide Assessment

Line	Description
II.A.2.d	Formal assessments (including state or district-wide assessments).
II.A.6.a	Performance in educational setting and progress in general curriculum.
II.A.6.c	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum.
III.A.4.c	For students eligible for alternate assessments only, short term instructional objectives or benchmarks.
III.A.4.e	75% of goals aligned with AZ standards.
III.A.4.f	Special education services to be provided.
III.A.4.g	Consideration of related services.
III.A.4.h	Consideration of supplementary aids, services, program adaptations.
III.A.4.k	Consideration of strategies/supports to address behavior that impedes student's learning or that of others.
III.A.4.l	Consideration of individual accommodations in testing for content areas, if appropriate.
III.A.4.m	Documentation of eligibility for alternate assessment, if appropriate.
III.A.7.a	For EL students, consideration of language needs related to the IEP.
III.A.7.b	For VI students, the need for Braille is considered.
III.A.7.c	For HI students, consideration of the child's language and communication needs.

CL-3. Suspension (CL-3)

Line	Description
III.A.4.g	Consideration of related services.
III.A.4.i	Consideration of supports for school personnel.
III.A.4.k	Consideration of strategies/supports to address behavior that impedes student's learning or that of others.
III.A.7.d	Potential harmful effects or drawbacks to the placement.
V.A.4.a	Notified parent on the same date the disciplinary decision was made.
V.A.4.b	A FBA was conducted or reviewed (when already in place).
V.A.4.c	Behavior interventions were developed and implemented, or reviewed when already in place.
V.A.4.d	If a change in placement has occurred, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior.
V.A.4.e	If the IEP team determined that behavior was a manifestation of the student's disability, the student was returned to placement from which student was removed, unless parent and PEA agree to change of placement.
V.A.4.f	For suspension or IAES, Student continued to be provided FAPE, including services and adaptations described in the IEP.
V.A.5	All school based staff involved in the disciplinary process understand the requirements on suspension and expulsion.

CL-4 LRE

Line	Description
II.A.6.a	Performance in educational setting and progress in general curriculum.
II.A.6.b	Educational needs to access the general curriculum, including assistive technology.
II.A.6.c	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum.
II.A.7.a	Team determined the student has a specific category of disability.
II.A.7.b	Team determined the student needs special education and related service.
II.A.10 a-r	Disability requirements.
III.A.4.f	Special education services to be provided.
III.A.4.g	Consideration of related services.
III.A.4.h	Consideration of supplementary aids, services, program adaptations.
III.A.4.k	Consideration of strategies/supports to address behavior that impedes student's learning or that of others.
III.A.6.a	Location of services and adaptations.
III.A.6.b	Extent to which student will not participate with non-disabled peers.
III.A.6.c	Consideration of communication needs of the student.
III.A.6.d	Consideration of assistive technology devices and service needs.
III.A.7.d	Potential harmful effects or drawbacks to the placement.
V.A.4.b	A FBA was conducted or reviewed (when already in place).
V.A.4.c	Behavior interventions were developed and implemented, or reviewed when already in place.
V.A.4.d	If a change in placement has occurred, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior.
V.A.4.e	If the IEP team determined that behavior was a manifestation of the student's disability, the student was returned to placement from which student was removed, unless parent and PEA agree to change of placement.

CL-5. Prior Written Notice

V.A.3.a	Description of action proposed or refused by PEA.
V.A.3.b	Explanation of why the agency proposed or refused to take action.
V.A.3.c	Description of any options considered and why options were rejected.
V.A.3.d	Description of evaluation procedures, test records used as a basis for the decision.
V.A.3.e	Description of any other relevant factors.
V.A.3.f	If the notice is not an initial referral for evaluation, a statement of how a copy of procedural safeguards can be obtained.
V.A.3.g	Sources to obtain assistance in understanding notice.

CL-6. Special Education Population & 8.Disproportionality

Line	Description
II.A.2.b	Current classroom-based assessments and performance in the general curriculum.
II.A.2.c	Teachers and related service provider observation(s), including pre-referral interventions.
II.A.2.d	Formal assessments (including state or district-wide assessments).
II.A.6.a	Performance in educational setting and progress in general curriculum.
II.A.6.b	Education needs to access general curriculum, including assistive technology.
II.A.6.d	The impact of any educational disadvantage.
II.A.6.e	The impact of EL on progress in general curriculum.
II.A.7.a	Team determined the student has a specific category of disability.
II.A.9.a	Evaluation in a language and form most likely to yield accurate information.
II.A.9.b	Assessment tools used are: technically sound; validated for the purposes for which they are being used, administered by personnel trained in accordance with the test producers' requirements. and valid.
II.A.10 a-r	Disability requirements.
III.A.4.f	Special education services to be provided.

FORMS ACRONYMS

AF	Agency Form
SF	Student Form
CO	Classroom Observation
CFW	Child Find Worksheet

PI	Principal Interview
SPEDI	Special Education Administrator Interview
TI	Teacher Interview Form
SI	Student Interview Form

PS	Parent Survey
SETS	Special Education Teacher Survey
GETS	General Education Teacher Survey
RSPS	Related Service Provider Survey
S-1-A	Secure Care Inmate Survey
S-1-J	Secure Care Student Survey

F-10	Special Education Data Correction Form

Guide Steps

These guide steps contain the major elements that constitute the provision of a free appropriate public education (FAPE) for students with disabilities. Each monitoring must provide a representative picture of the public education agency's (PEA) compliance status and provision of service. For a larger agency, select files by stratified random sampling; for a smaller agency, use the entire population.

The following is a guide for the minimum number of files to review. The team should make an effort to review at least two files from each school and from each disability category within the PEA. The sample must also include the files of students placed by the PEA in out-of-district settings.

Number of special education students	Less than 10	11–100	101–250	251–500	501 or more
Number of eligible student files	All	10–15	15–25	25–35	35–50
Number of files of students found not eligible*	2	2	5	8	12

- Review for 60-day evaluation timeline only (II.A.5.b)

The following instructions include **all** of the compliance items within the Arizona monitoring system. It is incumbent upon the PEA to meet each of these requirements. The specific items included within a PEA's monitoring will depend upon the governance structure of the PEA and the outcomes they have achieved with students. Therefore, you may encounter line items within the guide steps that are not present in your PEA's monitoring documents. For monitoring purposes alone, you may skip these items. However, compliance with these items is required and may be monitored through technical assistance visits, complaints, or due process hearings.

	General Instructions
Step 1	Record the demographic information requested. If a student does not have a SAIS number, use the student's birth date and initials. Use the SAIS category from the most recent census submitted to the Arizona Department of Education (ADE). When reviewing the evaluation timelines for a student who was found not to be eligible for special education, record the SAIS number and check the "Not eligible" drop down box in the disability area within the database.
Step 2	Conduct the file review and record the information using the following codes: **I** = In compliance **O** = Out of compliance **U** = Unreported

No Citation	The PEA must determine the primary language spoken by the parent to meet the parent notification requirements. Student File Review Method: Review the file for the language of the home as indicated **by the parent** and write the language in the space provided. Use any parent source (language survey, registration, developmental history), but do not use a secondary source such as the evaluation report summary.
No Citation	The PEA must have knowledge of the language proficiency of the student to properly evaluate and educate the student. Student File Review Method: If the primary language of the child is other than English, verify that the PEA has verified the language in which the child is most proficient. Look for the results of language proficiency testing. This may not be located in the special education file; you may have to access it in the cumulative or English Learner (EL) file. Specify the language proficiency in the space provided.
SOF Location	**Instructions:**
I.A.1.a GC	Determine if child find policies and procedures have been reviewed annually by all school-based staff. Agency Review Method: Verify through agenda and attendance sheet with signatures and position of all school-based staff. There must be evidence of their review for more than one year. If documentation for more than one year exists, mark this item **I**
I.A.1.b GC	Determine if child find procedures have been disseminated to parents. Agency Review Method: Review available documentation, for example, letter, flyer, web page, link, etc. If parents have been made aware of procedures via the available documentation, mark this item **I**.
I.A.2.a GC	Determine if the PEA maintains an invitation list and agenda of private school involvement in child find efforts. **All references to private school students also include students who are home-schooled.** Agency Review Method: Locate the invitation list to the meeting between private schools and the district. Locate the agenda for this meeting. If private schools are listed as invited and if the meeting agenda covers private school involvement in child find efforts, mark this item **I**.

I.A.2.b GC	The PEA has documented outcomes from consultation with private schools including written affirmations or documentation of efforts. Agency Review Method: Review notes from the meeting between private school and district representatives: • If there are written affirmations, mark this item **I** **And/Or** • If there is documentation that attempts were made to include the private school but the private school did not respond, mark this item **I** • If there is no documented outcome from consultation with private schools, mark this item **O** • If the agency is a charter school or a state institution or if there are no private schools or home-schooled students within the district boundaries, mark this item **U**.
I.A.2.c GC	There are service plans for private school students that include the roles and responsibilities of involved parties. Agency Review Method: For private school students selected to receive services, identify that the school has a service plan. If service plans exist for all children receiving services, mark this item **I**. If there are no private schools with students with disabilities, mark this item U.
I.B.1.a GC	Determine if the required procedures for birth to 2.9 child find were followed. Required procedures include: A. Use of the mandatory AZ Child Find Tracking form and referral B. Documentation of appropriate follow-up on any referral to AzEIP or district C. Alert forwarded to ADE/ESS when no follow-up on a referral can be documented. (See AzEIP/ADE Child Find agreement for additional information) Agency Review Method: • If the system for referral to AzEIP is in place and the timelines have been followed, mark this item as **I**. • If the system for referral to AzEIP is in place, but procedures or timelines have not been followed, mark this item as **O**. • If no system for referral to AzEIP is in place, mark this item as **O**. • If the system for referral is in place but no child has accessed the system, mark this item as **U**.

I.B.1.b GC	Determine if the required procedures for aged 2.9 to 5 child find were followed in a timely manner. Agency Review Method: This item is marked as follows: For <u>charter schools and union high school districts</u> - • If the system for referral to the responsible district is in place and the timelines have been followed, mark this item **I**. • If the system for referral to the responsible district is in place, but procedures or timelines have not been followed, mark this item **O**. • If no system for referral to the responsible district is in place, mark this item **O**. For <u>elementary and unified districts</u> – • If the district has procedures that ensure children are screened within 45 days of initial expression of concern, **AND** • If the district conducts an adequate number of screenings during the year (as determined by the population within their boundaries), mark this item **I**. • If the district does not conduct screenings or fails to conduct screenings within the required timelines, mark this item **O**. If the system for screening and referral is in place but no child has accessed the system, mark this item as **U**.
I.B.1.c GC	Determine if the procedures for screening appropriate school-aged students were completed within 45 calendar days of entry and the 7 required areas were addressed. Required areas include: vision, hearing, cognitive or academic, communication, motor, social or behavioral, and adaptive or self-help. Agency Review Method: Compare the date of enrollment and the date of screening or review of records. • If the student was screened in all 7 areas within 45 calendar days, mark this item **I**. • If any area was not screened, mark this item **O**. • If the student was screened but not within the required 45 calendar days, mark this item **O.** • If the student was not screened, mark this item **O.**

1.B.1.d GC, GETS	Students, including preschool students, were referred for follow-up and/or evaluation. Agency Review Method: If concerns were noted about any of the students who were screened, the school must document follow-up actions. Follow-up may consist of a variety of actions, and the appropriateness of the follow-up is dependent upon the nature of the concern. • If any **effective** actions to resolve the concern, including documentation of attempts to collect additional records, implementation of classroom interventions, or referral to a child study team or for a special education evaluation are evident, mark this item **I**. • If the PEA has not followed its child find procedures, mark this item **O.** • If no concerns are noted, mark **U**.
II.A.1 GC	An evaluation and eligibility determination have been completed, including for phased out students. **This line item cannot be marked U**. Student File Review Method: Review the file for current evaluation and eligibility documentation. If a current evaluation and eligibility determination is present, mark this item I. FOR REEVALUATIONS ONLY: If no current reevaluation documentation is found, then look for documentation of the agreement between the parent and PEA that the reevaluation was unnecessary. If neither is documented, mark this item **O** and enter **U** on the remainder of the evaluation items (II). If documentation that evaluation was unnecessary is present, then mark this item as **I** and the remainder of the evaluation items (II) will be **U**. **For students who have been phased-out of special education**, the team must have conducted a reevaluation prior to the **decision** to dismiss the student from special education. The decision of the team may be based on existing information or on newly administered tests or assessments. There is no requirement that new data be gathered to phase-out a student, but all components of the student's category of eligibility must be addressed and documented. If no evaluation is found for a phased-out student, mark this item **O** and enter **U** on the remainder of the evaluation items.
II.A.2.a GC, PS	The parent provided current information during the review of existing data. Student File Review Method: Determine if there is evidence that the parent provided information to the team **OR** that the PEA made several, varied efforts to request information from the parent. This may be a review of information provided through a meeting, questionnaire, phone interview, or e-mail to document developmental, medical, functional, and other pertinent information. If the parent was not a member of the team, mark this item **O** unless, for a reevaluation, the PEA had documentation of their efforts to gather parental input.

II.A.2.b CL-6	Current classroom-based assessments were reviewed. Student File Review Method: Determine if the team considered information shared by the child's teacher related to classroom assessments, such as quarterly grades, portfolio information, anecdotal records, or assessment and performance information from early intervention programs for children birth to 3. If it is clear that the child's teacher was not included in the review of existing data process, mark this item **O.** If the student has not attended school or the early intervention program, mark this item **U.**
II.A.2.c CL-6	Teacher and related service provider input was reviewed. Student File Review Method: Determine if the team considered information that was shared by any teacher and/or related service provider, community-based personnel, service providers for children birth to 3, or other providers as appropriate. Examples of information include pertinent data related to peer relationships, work habits, organizational skills, motivation, behavior, **and/or** self-esteem, and any pre-referral intervention efforts for initial evaluations**.** If the student has not attended school, mark this item **U.** **For reevaluations**, there must be consideration of information shared by the special education teacher and a review of prior special education evaluation results.
II.A.2.d CL-2,CL-6	Formal assessments were reviewed. Student File Review Method: Determine if the team considered performance on assessments conducted within the PEA environment, including the AIMS, TerraNova, alternate assessments, and language proficiency test. If the team did review this data, mark this item **I.**

II.A.3. GC, SETS, GETS	A team determined that existing data were sufficient or that additional data were needed. Student File Review Method: Determine if a team discussed and made a determination about the need for additional data. At a minimum, this should include the requirements for the appropriate disability category. Examples: • Based on the review of existing data, the team completed an eligibility determination that includes the required disability components. = **I** • The present levels of performance of the student as described in the text of the evaluation report include the required disability components. = **I** • Some concerns about the student could not be described without collecting additional data. = **I** • The team completed an eligibility determination form without reviewing the existing data or without sufficient data to address the criteria for the specific disability classification. = **O** If the team decided not to collect further data, mark item II.A.4 as **U** and continue with item II.A.5.a. If the team decided to collect additional data, continue with II.A.4.
II.A.4. GC	Informed parental consent was obtained (or for reevaluations, efforts were made to obtain) informed consent prior to the collection of additional data. Student File Review Method: Determine if informed parental consent is documented. If the parent signature is missing on an initial evaluation, mark this item **O.** In the case of a reevaluation, if the PEA attempted to obtain consent but the parent did not respond **and** the PEA adequately documented those efforts, mark this item **I.** If the student transferred in with a current evaluation and parent consent was not included in records received, mark this item **U.**

II.A.5.a	The student was assessed in all areas related to the suspected disability.
GC	Student File Review Method: Determine if all concerns that surfaced through the pre-referral process, review of existing data, and parent/teacher input were addressed in an effective manner in the evaluation. This includes but is not limited to any academic, social, behavioral, vision and hearing issues, or assistive technology needs.
	Examples:
	- The student was failing to make progress in class in math and statewide test scores were significantly below expectations yet the evaluation did not address math as an area of concern. = **O** - The evaluation of a preschool child who would not talk to any other child but would talk to adults did not consider the social/emotional status of the child. = **O** - When testing a 2nd grader with chronic middle ear infections that were being medically treated but were unresponsive to that treatment, the evaluation team used assessment methods that minimized the impact of language and hearing status on test results. = **I** - The evaluation of an unintelligible student with cerebral palsy who demonstrated normal intelligence and receptive language did not include an assessment of assistive technology needs in the area of expressive communication. = **O**
	Note: If there were problems identified through the vision or hearing screening, the problems must be resolved prior to continuing with the evaluation UNLESS the nature of the problem is part of the evaluation process and the strategies/instruments used during the evaluation take into account the vision or hearing issues.
	For a preschool child, determine if all of the developmental domains (cognition, language, motor, personal/social, and adaptive) were addressed in the evaluation. Instruments designed for screening purposes do not meet the requirements for a complete and individual evaluation.

II.A.5.b GC	The initial evaluation of a student was completed within 60 calendar days of receipt of informed written consent from parent(s). The 60-day evaluation period may be extended for an additional 30 days, provided it was in the best interest of the child, and the parents and PEA agreed in writing to such an extension. Student File Review Method: Determine if the PEA conducted the initial evaluation within 60 calendar days of receipt of informed parental consent. The 60-day period begins with the date of written informed consent and ends with the date of the team determination of eligibility. If the parent requested the evaluation and the team concurred, the 60-day period began with the date that the written parental request was received by the PEA. If the timeline for the evaluation was not met, mark this item **O**. If this evaluation was conducted by another PEA, the timeline does not apply. Mark this item **U.** **This item must be reviewed for a sample of students who were evaluated for special education but who were subsequently found not to be eligible for special education.**
II.A.6.a CL-1, CL-2, CL-4, CL-6, SPEDI	Upon review of all data, the evaluation documentation describes the student's performance in the educational setting and how progress in the general curriculum is affected. Student File Review Method: Locate documentation of the effect that the disability has on the student's education, including progress in the general curriculum. For a preschool child, this means the general developmental progress of the child. Examples: • John has age appropriate cognitive abilities but his reading disability makes access to grade level content challenging. = **I** • Mark's emotional disability causes him to be excessively fearful of failure before his peers and impacts his ability to participate in group work and presentations. = **I** • Marshall 's speech-language and motor delays affect his social interaction progress and cause him to lash out when frustrated. = **I** **Interview Method**: The special education administrator should be able to explain how the MET determines the effect the disability has on a student's progress in the general curriculum. If the administrator can explain the decision-making process, mark this item **I**.

II.A.6.b	The educational needs to access the general curriculum are identified.
CL-4, CL-6, SPEDI	Student File Review Method: Determine if educational needs of the student were identified. Examples: • Roy needs to have specialized instruction in reading comprehension and reading decoding. = **I** • Roy has reading problems**. = O** • Mobility training will need to be provided to Roy at school and on the bus. = **I** • Roy needs help in math. = **O** • Roy needs help in math calculation. = **I** • Roy needs help redirecting his anger. = **I** • Roy needs to behave**. = O** • Roy would benefit from an assistive communication device during language arts. = **I** ☞ **Interview Method:** The special education administrator should be able to explain how the MET determines a student's educational needs. If the administrator can explain the decision-making process, mark this item **I**.

II.A.6.c CL-1, CL-2, CL-4, PI, SPEDI	**For reevaluations only**, considerations must be made as to whether any additions or modifications to the special education or related services are needed for the student to progress in the general curriculum. Student File Review Method: Determine if the team considered the **rate of progress** the student was making toward annual goals and in the general curriculum. If progress was deemed insufficient, determine if the team recommended additions or adaptations to the services. This can be found in various locations within the report. Examples: • Susan is not making progress with her math facts. Flash card drills and weekly testing have not improved her accuracy when completing math problems. It is recommended that she spend time every day practicing and that a self-pacing computer program be utilized to accurately measure accuracy and speed. = **I** • No changes. = **O** • David's AIMS scores in math show that he has moved from "falls far below" to "approaches" the grade level standard. The resource support he has been receiving is meeting his needs = **I** • N/A = **O** Mark this item **U** for initial evaluations. ☞ **Interview Method**: The special education administrator and principal should be able to explain how a MET determines if additions or modifications are needed for a student to make progress. If they can explain the decision-making process, mark this item **I.**
II.A.6.d CL-1, CL-6, PI	Considerations must be made of the impact of any educational disadvantage. Student File Review Method: Determine if the team documented their consideration of educational disadvantage. There should be a clear statement of the consideration within the evaluation documentation. A rule-out statement is sufficient ONLY if there is **no** evidence of educational disadvantage. The examples of educational disadvantage could include: • Consideration of lack of learning opportunities • Frequent school changes • Poor attendance • Multiple teachers in the same year • Questionable home school curriculum, etc. • Inadequate general curriculum and/or instruction ☞ **Interview Method**: The principal should be able to explain how the MET determines the impact of educational disadvantage for a student. If the principal can explain the decision-making process, mark this item **I**.

II.A.6.e CL-1, CL-6, PI	If the student is not a native English speaker, the impact of limited English proficiency on progress in general curriculum must be addressed. Student File Review Method: Determine if the team documented their consideration of language proficiency. There should be a clear statement of the consideration within the team documentation. A rule-out statement is sufficient ONLY if there is **no** evidence of limited English proficiency. Examples of the impact could include: • The student is making slow progress in his acquisition of English and instruction should be provided in both languages. • The student is becoming more proficient in English. Instruction should be provided in English with additional directions given in Spanish, if necessary. Mark this item **U** if the student speaks English. ☞ **Interview Method**: The principal should be able to explain how the MET determines the impact of limited English proficiency on a student's progress in the general curriculum. If the principal can explain the decision-making process, mark this item **I**.
II.A.7.a CL-4 CL-6	A team determined that the student has a specific category of disability. Student File Review Method: Locate documentation of the team's decision regarding the specific disability category. All criteria for classifying any given disability should be reported and clearly demonstrated with supporting data. Noncompliance calls on this item **must be** based upon violations of statutory and regulatory requirements. **If there are concerns that data may not support the decision made by the team, complete the _line item(s)_ that correspond to the disability category for this file (items II.A.10.a - r).** Examples: • There is no eligibility determination. = **O** • Decision is made by one person, not a team. = **O** • The eligibility report documents that multiple people had a role in making the classification decision and that the decision was made utilizing data from a variety of sources. = **I** • A student classified as <u>SMR</u> has a reevaluation that indicates performance is less than four standard deviations below the mean on a test of intelligence. Mark Item II.A.10.n. • A student classified as <u>SLD</u> for language, but the student's language difficulties are the result of a hearing loss – Mark Item II.A.10.b. • A preschool child classified as <u>PSL</u>, but the CDA indicated a significant delay (greater than 1.5 standard deviations [sd]) in cognition – Mark Item II.A.10.v.

II.A.7.b CL-4	A team determined that the student needs special education and related services. Student File Review Method: Locate documentation of the eligibility for special education, based on the presence of a disability **and** the need for specialized instruction. The date the team documents these decisions becomes the new eligibility determination date from which the timeline for future triennial reevaluation dates will be based. Determine if the written report includes salient information related to the eligibility determination, category of disability, and need for services supporting the eligibility determination.
II.A.8 GC, F-10	The category of disability as identified by the team agrees with the SAIS status. Student File Review Method: Compare the team eligibility determination with the most recent SAIS report to ensure the student is being reported correctly. • If the SAIS report and the eligibility determination match, mark this item **I** • If the student is not eligible for special education but is reported on SAIS to be a special education student, mark this item **O** and enter Code 1 on the drop down menu within the database. • If the student **may** be eligible for special education but no evaluation/eligibility determination can be located, mark this item O and enter Code 1 on the drop down menu within the database. • If the student is eligible for special education but the disability category has been reported incorrectly, mark this item **O** and enter Code 2 on the drop down menu within the database. • If a student who should be on SAIS as special education but is not, mark the item **U.** (This does not affect compliance, but the PEA should be aware of the error.)

II.A.9.a CL-6	Assessments and other evaluation materials were administered in a language and form most likely to yield accurate information.
	Student File Review Method: Review assessments and other evaluation materials to ensure that they were selected and administered in a non-discriminatory racial or cultural manner, and that they were administered in a form and language most likely to yield accurate information on what the child knows and can do academically, developmentally, and functionally unless it was not feasible to so provide or administer.
	A simple statement to this effect is NOT sufficient IF the evidence is clearly to the contrary.
	• The child is monolingual Spanish and all tests were administered in English and required English language proficiency = **O**
	• The child is monolingual Urdu and tests were administered that are non-verbal or non-language based = **I**
	• The child is monolingual Navajo and the teacher aide (who is trained to assist in assessment) interpreted for the child during testing = **I**
	• The child is an English speaker and all tests were administered in English = **I**
	• The child is hearing impaired and tests were administered that are non-verbal or non-language based or were developed/normed for HI children = **I**
II.A.9.b CL-6, SPEDI	Assessment tools are technically sound and validated for the purposes for which they are being used.
	Interview Method: The special education administrator should indicate that evaluators have had sufficient training to assure that any standardized tests that are given to a student have been validated for the specific purpose for which they are used. The director should also assure that evaluators are trained and knowledgeable in accordance with any instructions provided by the producer of the tests.
	Responses may include:
	• The evaluators attend professional development training on an ongoing basis. = **I**
	• The school provides evaluators with new versions of assessment instruments as soon as they are available from the publisher. = **I**
	• The evaluators are provided with professional journals to keep up with assessment research. = **I**
	• Budgets are tight so we rely on the tests we've used for about 10 years. = **O** .
II.A.10.a CL-4 CL-6	Documentation supports category and substantiates eligibility for:
	Speech or Language Impairment (SLI): a communication disorder such as stuttering, impaired articulation, severe disorders of syntax, semantics, or vocabulary, or functional language skills, or a voice impairment to the extent that it calls attention to itself, interferes with communication, or causes a student to be maladjusted.

II.A.10.b CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Specific Learning Disability (SLD):** a response to scientific research-based intervention or a significant discrepancy between achievement and ability in 1 or more areas: oral or written expression, basic reading skills, reading or listening comprehension, mathematics calculation, or reasoning. The disorder may result in an imperfect ability to listen, think, speak, read, write, spell, or do math. Each PEA should establish its own criteria for what is to be considered a significant discrepancy.
II.A.10.c CL-4 CL-6	Documentation supports category and substantiates eligibility for: **SLD:** A certification of each team member's agreement or disagreement must be included. This certification may be contained in the report or may be located on a separate eligibility statement.
II.A.10.d CL-4 CL-6	Documentation supports category and substantiates eligibility for: **SLD:** A determination of the effects of environmental, cultural, or economic disadvantage must be included.
II.A.10.e CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Mild Mental Retardation (MIMR):** performance on standard measures of intellectual functioning and adaptive behavior between 2 and 3 SD below the mean for students of the same age.
II.A.10.f CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Moderate Mental Retardation (MOMR):** performance on standard measures of intellectual functioning and adaptive behavior between 3 and 4 SD below the mean for students of the same age.
II.A.10.g CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Emotional Disability (ED):** verification by a psychologist or psychiatrist of one or more of the following characteristics over a long period of time and to a marked degree that adversely affects educational performance: inability to learn, inability to build or maintain relationships, inappropriate behavior/feelings, unhappiness or depression, physical symptoms/fears, or schizophrenia which adversely affects education performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
II.A.10.h CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Other Health Impaired (OHI):** verification by a doctor of medicine of limited strength, vitality, or alertness, including heightened alertness to environmental stimuli (such as ADD or ADHD) that is due to chronic or acute health problems and adversely affects student performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.

II.A.10.i CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Hearing Impairment (HI):** verification by an audiologist of a hearing impairment that interferes with the student's performance in the educational environment and requires the provision of special education and related services. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
II.A.10.j CL-4 CL-6	Documentation supports category and substantiates eligibility for: **HI:** Evaluation of the language proficiency of the student should be included. Documentation of the student's mode of communication and the effectiveness of the student's ability to access the general curriculum through its use.
II.A.10.k CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Visual Impairment (VI):** verification by an ophthalmologist or optometrist of a visual impairment that interferes with the student's performance in the educational environment and that requires the provision of special education and related services. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
II.A.10.l CL-4 CL-6	Documentation supports category and substantiates eligibility for: **VI:** Individualized Braille literacy assessment should be completed for VI students who are considered to be blind. This assessment should address the effect that the visual impairment has on reading and writing performance commensurate with the student's ability. If a VI student is not blind, mark this item **U**. Mark this item **U** for phased-out students.
II.A.10.m CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Orthopedic Impairment (OI):** verification by a doctor of medicine of one or more severe orthopedic impairments, including those caused by congenital anomaly, disease, and other causes, such as amputation or cerebral palsy and that adversely affect educational performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
II.A.10.n CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Severe Mental Retardation (SMR):** performance on a standard measure of intellectual functioning and adaptive behavior at least 4 SD below the mean for a student of the same age.
II.A.10.o CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Autism (A):** a developmental disability that significantly affects verbal and nonverbal communication and social interaction and adversely affects educational performance.

II.A.10.p CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Traumatic Brain Injury (TBI):** verification by a doctor of medicine of an acquired injury to the brain that is caused by an external physical force and that results in total or partial functional disabilities, psychosocial impairment, or both that adversely affects educational performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
II.A.10.q CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Multiple Disabilities (MD):** multiple disabilities include 2 or more of the following: HI, OI, MOMR, and/or VI or a student with 1 of the disabilities already listed in this section existing concurrently with MIMR, ED, or SLD.
II.A.10.r CL-4 CL-6	Documentation supports category and substantiates eligibility for: **Multiple Disabilities with Severe Sensory Impairment (MD-SSI):** multiple disabilities include: (1) severe visual impairment or hearing impairment, with another severe disability or (2) severe visual impairment and severe hearing impairment.
II.A.10.s PC	Documentation supports category and substantiates eligibility for: **Preschool Moderate Delay (PMD):** at least 1.5 SD and not more than 3.0 S.D. below the mean in 2 or more of the following areas: cognitive, motor, communication, social/emotional, or adaptive development.
II.A.10.t PC	Documentation supports category and substantiates eligibility for: **Preschool Severe Delay (PSD):** more than 3.0 SD below the mean in 1 or more of the following areas: cognitive, motor, communication, social/emotional, or adaptive development.
II.A.10.u PC	Documentation supports category and substantiates eligibility for: **Preschool Speech or Language Delay (PSL):** speech, which, out of context, is unintelligible to an unfamiliar listener **AND/OR** at least 1.5 SD below the mean in language.
II.A.10.v PC	Documentation supports category and substantiates eligibility for: **PSL:** child is not eligible for services under another preschool category as evidenced by a comprehensive developmental assessment (CDA). The CDA may not rely on instruments designed as screening tools.
III.A.1 GC	There is a current IEP. Student File Review Method: Record the date the most recent IEP was developed. If the IEP was developed or revised less than 365 days prior to the date of the file review, the IEP is current. Mark any other status in noncompliance. **This item cannot be marked U**. If there is no IEP, mark all other components pertaining to IEP development with **U.**

III.A.2 GC	Each IEP is reviewed/revised at least annually. Student File Review Method: If the IEP being reviewed is an initial IEP, mark this item **U**. If another IEP exists, enter the date the previous IEP was developed in the space. Compare that date with "Date of current IEP" to determine if an IEP review was conducted within the last 365 days. Example: 12/4/05 to 12/4/06 = **I** 12/4/05 to 12/5/06 = **O**
III.A.3 GC	The IEP team meeting included the required participants. Student File Review Method: Review the file for evidence of the following participants: - One or both of the student's parents; - Not less than one general education teacher of such student; for preschool, this might be a day care provider, Head Start teacher, PEA preschool teacher, or a kindergarten teacher; - Not less than one special education teacher or provider; - A representative of the PEA who is qualified to provide or supervise the provision of special education and who is knowledgeable of general curriculum and availability of resources (must have authority to commit the resources needed to implement the IEP); - An individual who can interpret instructional implications of evaluations; The people listed above must have been in attendance at the meeting unless the statutory stipulations below are fulfilled: 1. A member of the IEP Team shall not be required to attend an IEP meeting, in whole or in part, if the parent of a child with a disability and the PEA agree that the attendance of such member is not necessary because the member's area of the curriculum or related services is not being modified or discussed in the meeting. 2. A member of the IEP Team may be excused from attending an IEP meeting, in whole or in part, when the meeting involves a modification to or discussion of the member's area of the curriculum or related services, if - the parent and the local educational agency consent to the excusal; and - the member submits, **in writing to the parent and the IEP Team** input into the development of the IEP prior to the meeting. A parent's agreement under # 1 and # 2 above **must be in writing**.

| III.A.4.a GC | The IEP includes the student's present level of academic achievement and functional performance (PLAAFP), including strengths and needs and how the disability affects the student's involvement and progress in the general curriculum (Arizona Academic Standards). Information should relate to the most recent evaluation data as well as current classroom data.

Beginning at age16, the student's current functioning in relation to identified post-school outcomes should be described in the PLAAFP (or another section of the IEP related to transition).

Student File Review Method: Review the IEP to determine if there is a present level of academic achievement and functional performance. Look for documentation that is more extensive than test scores or grade level equivalents. **All areas pertinent to the student's needs must be addressed in the PLAAFP.** This requirement includes preschool students at the functional or readiness levels.

Examples:

- Reading 2.9 = **O***
- Mary wants to be a vet assistant and needs to improve her reading comprehension skills to the 4th grade level so she can read technical manuals. She needs an automatic thesaurus to help her with this skill. = **I**
- George has reading comprehension skills that are at the kindergarten (Strand 1, Concept 6) level of the Arizona Standards. = **I**
- Linda follows 1-step directions. Language Arts (Kindergarten-Strand 3, Concept 2, P.O.1) = **I**
- Ellie has never worked before and is unclear as to what she wants to do when she leaves school. = **O**
- Larry is very good in math, performing at the 5th grade level of the Academic Standards. He understands the importance of math, particularly in measurement, for his desired career goal (carpenter) uses such skills daily. Larry has the ability to estimate and uses measurement to describe and make comparisons. He selects and uses appropriate measurement tools to measure to the degree of accuracy required in problem solving situations. = **I**
- Sharon has an IQ of 32 as measured by the WISC. = **O***
- Mary can reach for and hold objects by extending and using her right arm; however, she has difficulty employing more complex motor movements to use an object (such as a spoon) purposefully. = **I**

*Documentation must be more extensive than a test score or grade-level equivalency. |
|---|---|

III.A.4.b GC	The IEP includes measurable annual goals, including academic and functional goals, that reflect the needs identified in the PLAAFP and current assessment data. Student File Review Method: Review the IEP to determine if there are annual goals that are measurable and that reflect student needs. Baseline measurement must be articulated either in the PLAAFP or in the goal statement for progress toward the goal to be measurable. If the student has identified behavioral concerns, look for evidence of a goal related to the behavior OR a Behavior Intervention Plan (BIP). Examples are numbered so that they can be associated with Item III.A.4.d: <u>Reading goals</u>: 1. John will use phonetic skills to decode words at the1st grade level (Strand 2, Concept 3, PO 1). = **I** 2. John will decode words. = **O** <u>Math goals</u>: 3. Paul will multiply and divide using 3-digit by 2-digit numbers at 4th grade level with 75% accuracy. = **I** 4. Paul will improve his math skills. = **O** <u>Communication goals</u>: 5. Ringo will demonstrate increased functional communication and motor control by purposefully pointing at pictures on his communication board with his elbow. = **I** 6. Ringo will make his desires and wishes known. = **O** 7. Jack will increase the length of his utterances from single syllable to an average of 3-word sentences as measured by an elicited language sample using a familiar picture book. = **I** 8. Jack will improve expressive language. = **O** <u>Behavior goals</u>: 9. Martin will reduce aggressive behaviors as measured by office referrals from his current level of 4 per grading period to less than 1 per grading period. = **I** 10. Martin will learn to behave. = **O** <u>Workplace skills goals</u>: 11. George will keep a daily planner with 90% of assignments noted with due dates. (Standard 8) = **I** 12. George will improve organization. = **O**
III.A.4.c CL-2	For students taking alternate assessments only (AIMS-A, ASAT), the IEP shall include appropriate short-term instructional objectives or benchmarks for each goal stated. Student File Review Method: Determine if children with disabilities who take alternate assessments aligned to alternate achievement standards have documentation within the IEP of the description of benchmarks or short-term objectives.

III.A.4.d.	The IEP must reflect how progress toward goals will be measured.
GC, TI, SPEDI	Student File Review Method: Determine if the IEP identifies the assessment strategies for measuring progress (examples may include but are not limited to teacher documentation, weekly grades, behavior samples, and successful completion of identified project). The strategy must make sense as it relates to the goal. The strategy may be embedded in the goal statement or may be a separate statement. Examples are numbered so that they can be associated with Item III.A.4.b: 1. John's progress will be measured every four weeks by counting the number of words read correctly in 1 minute = **I**. 2. *Goal is not measurable so progress can not be documented* = **O** 3. Percent correct on end-of-quarter teacher-made test given to all other students = **I**. 4. *Goal is not measurable so progress can not be documented* = **O** 5. Teacher charting during classroom-based choice activities. Progress will be based on performance/opportunity during the last week of each grading period = **I** 6. Teacher observation = **O**. Goal is not measurable so progress can not be measured 7. Measurement strategy is embedded in the goal = **I** 8. *Goal is not measurable so progress can not be documented = **O*** 9. Measurement strategy is embedded in the goal = **I** 10. *Goal is not measurable so progress can not be documented = **O*** 11. While the goal is measurable, there is no mention of measurement strategy = **O** 12. *Goal is not measurable so progress can not be documented = **O*** ☞ **Interview Method**: The special education administrator and teacher(s) should be able to explain how IEP teams determine the measurement that will be used for assessing progress toward IEP goals. If they can explain the decision-making process, mark this item **I.**

III.A.4.e	In order to promote progress in the general curriculum there must be an alignment of most (but not all) goals with the Arizona Academic Standards. This item should be marked in compliance if 75% or more of the goals are aligned.
CL-2	Student File Review Method: Review the IEP goals to determine if there is clear alignment of the appropriate goals with the standards or performance objectives (PO) in the Academic Standards. The goal need not be worded exactly like a standard or PO to be in compliance. However, the reader must be able to determine, at a minimum, the area of the standard (number sense, computation, written expression, collaborative work, organizational skills) and the grade level. Identification by specific PO number is also in compliance.
	Record the number of standards-based goals. Record the number of all goals written.
	Some goals for some students may not be aligned with the Arizona Academic Standards. The individualized nature of the IEP requires that a student's needs should be addressed, even if those needs go beyond those traditionally considered to be general curriculum goals.
	If at least 75% of goals are aligned with the AZ Academic Standards, mark this item **I.**

III.A.4.f	The IEP includes the specific special education services to be provided.
CL-1, CL-2, CL-4, CL-6, PI, SPEDI	Student File Review Method: Review the IEP for a clear description of the special education services provided. This statement may be considered with other requirements in the IEP but should give a clear picture of the individualized special education services.
	Specialized services should indicate how the student's program will be different from those in the general education program and should relate directly to the goals as the IEP team has defined them.
	Examples:
	- Inclusion = **O** - SLD resource = **O** - Tutoring = **O** (while this service may be a part of the educational program, it is not a specialized service) - Individualized instruction in written expression = **I** - Instruction in assistive technology for writing = **I** - Pre-teaching for comprehension in content areas = **I** - Direct instruction in reading decoding = **I** - Kinesthetic strategies for math calculation = **I** - In-class consultation for behavioral support = **I** - Instruction in 5 preschool areas (speech, social, behavioral, adaptive, and cognitive) = **I** - Generalization and practice in life skills (daily living skills, personal management skills) = **I** - Speech/language therapy = **I** - Time management skills on the worksite = **I** - Individually coached work study = **I**
	☞
	Interview Method: The special education administrator and principal should be able to explain how IEP teams determine a student's need for specific special education services. If they can explain the decision-making process, mark this item **I.**

III.A.4.g	The IEP includes the consideration of related services to be provided.
CL-1, CL-2, CL-3, CL-4, PI, SPEDI	**Student File Review Method:** Determine if the IEP team considered the need for related services. If there are no related services indicated on the IEP, there must be some notation that the team considered and rejected the need. If the team determined that related services were needed, the services must be clearly specified on the IEP. Transition services can be considered as a related service. Examples: - Late bus schedule, door to door, basketball season = **I** - Sign Interpretation during Monday intramurals = **I** - Transportation assistance = **I** - Occupational therapy = **I** - Assistive technology = **I** - Counseling = **I** - Social work services = **I** - Parental counseling and training = **I** - Team considered related services and determined none were needed = **I** - N/A = **O** ☞ **Interview Method**: The special education administrator and principal should be able to explain how IEP teams determine a student's need for related services. If they can explain the decision-making process, mark this item **I.**

III.A.4.h	The IEP includes any supplementary aids, services, and program adaptations (accommodations and/or modifications) to be provided.
CL-2, CL-4, TI, PI	Student File Review Method: Determine if supplementary aids and services are to be provided or program adaptations are to be made.

Supplemental aids and services are defined as "aids, services and other supports that are provided in general education classes or other education-related settings to enable students with disabilities to be educated with non-disabled students to the maximum extent appropriate." Examples include, but are not limited to, orientation and mobility training, interpreter assistance, assistive technology devices or services, and instructional aids.

Program adaptations are defined as "changes to the learning environment or curriculum that enable students with disabilities to be educated with non-disabled students to the maximum extent appropriate." Examples include job coach, pictorial inventory checklist, highlighted text, reduced assignments, preferential seating, and modified unit tests. Program adaptations must be provided on a regular basis if they are to be used for testing.

Examples:

- Sue will use a pencil grip whenever she is working on a written assignment. = **I**
- Peter may use a calculator for math problems. = **I**
- Joe will utilize a daily communication book (or homework assignment notebook) that will move between home and school with relevant notes for the parent/teacher. = **I**
- To promote Ken's continued independence, leisure reading books with page turning adaptations will be available during non-instructional time. = **I**
- John will require an aide for toileting assistance. = **I**
- A social skills coach will meet with Mary twice a week during P.E. = **I**
- Ruth will have a sign language interpreter for classroom discussions. = **I**
- Ben will complete 50% of all math drill homework. = **I**
- None required at this time. = **I**
- N/A = **O**

If the IEP delineates supplementary aids and services and program adaptations that address the needs of the student, mark this item = **I**.

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Interview Method: The principal and teacher(s) should be able to explain the factors an IEP team considers when determining a student's need for supplementary aids, services, and program adaptations. If the principal and teachers can explain the factors, mark this item **I.**

III.A.4.i CL-3, CL-4, TI, PI, SPEDI	The IEP includes a statement of supports that will be provided to school personnel Student File Review Method: Determine if appropriate supports, in-service training, etc. were considered and provided as necessary. This area on the IEP should not be left blank but may be incorporated in various locations on the document. Examples: • Considered, but not needed at this time. = **I** • In-service training on tube feeding, person-centered planning, job development, natural supports, etc. = **I** • Staff and parent in-service on appropriate use of assistive technology device = **I** • Special education consultation on appropriate modifications for weekly tests in spelling. = **I** • Special education consultation. = **O** • Paraprofessional training on positive behavioral supports. = **I** • N/A = **O** • Teacher training = **O** ☞ **Interview Method:** The special education administrator, principal, and teacher(s) should be able to explain the IEP team's responsibility regarding the need for supports for school personnel. They should also be able to provide some examples. If they can explain the responsibility of the team, mark this item **I**.
III.A.4.j GC	The IEP includes consideration of the need for extended school year services (ESY). Student File Review Method: Determine if the decision about the need for ESY was made on an individual basis at the IEP meeting. ESY cannot be excluded on the basis of a particular category of disability, the age of the student, or the availability of PEA resources. **This item should not be marked U**. There must be an indication on the IEP that ESY services were considered. The decision of the team must be documented on the IEP. If the IEP indicates that ESY eligibility will be determined at a later date, the PEA should have a system in place to ensure that the IEP team reconvenes in a timely manner to make that determination. ESY eligibility for services during the summer must be made no later than 45 days prior to the last day of school. If the IEP indicates that ESY eligibility will be determined at a later date, ESS program specialists will follow up on this item even when the item is found in compliance at the time of the monitoring.

III.A.4.k	The IEP team considered the use of positive behavioral interventions and supports, and other strategies to address behaviors that impede the student's learning or the learning of other students.
CL-2, CL-3, CL-4, TI, PI, SPEDI	Student File Review Method: Determine if the IEP team considered whether or not the student needs behavioral interventions. If there is any evidence that the student has a problem with acceptable behavior, this area must be addressed in the IEP. The term "behavior" includes actions such as consistent tardiness, failure to complete homework and other self-destructive but non-confrontational actions.
	Evidence of strategies and supports may be located throughout the document, such as in the annual goals, PLAAFP, accommodations and/or modifications, counseling services to be provided, and behavior plans.
	Interview Method: The special education administrator, principal, and teacher(s) should be able to explain the factors an IEP team considers when determining a student's need for positive behavior interventions and supports. If they can explain the decision-making process, mark this item **I**.
III.A.4.l CL-2, PI, SPEDI	The IEP includes documentation of any accommodations in the administration of state or PEA-wide assessments.
	Student File Review Method: Determine if the IEP contains documentation of the accommodations used for state and district assessments. Standard and/or alternate accommodations must have a relationship to the accommodations used with the student during instruction.
	Interview Method: The special education administrator and principal should be able to explain how an IEP team determines a student's need for accommodations in both instruction and assessments. If the administrators can explain the decision-making process, mark this item **I**.
III.A.4.m	The IEP documents the student's eligibility for alternate assessments.
CL-2	Student File Review Method: If the IEP designates participation in Arizona's alternate assessments (AIMS-A and/or ASAT [Alternate State Achievement Test]), then the Alternate Assessment Eligibility Criteria, Form 1, should be in the student's file as a component of the IEP.

- Form 1 is in the file and is completed to show participation in the alternate assessments = **I**
- Form 1 is in the file, but is not completed = **O**
- Form 1 is not in the file = **O**

If appropriate, the student's IEP designates participation in general assessments = **U** |

III.A.5.a TC, SI	Documentation that the student who is 16 years of age or older was invited to the IEP meeting. Student File Review Method: Beginning not later than the first IEP to be in effect when the student turns 16, look for documentation that the student was invited (IEP with student signature, meeting notice, or other clear documentation that the student was invited). If there is no documentation evident, mark this item **O** If the student is younger than 16, mark this item **U**. ☞ **Interview Method**: Was the student invited to his/her IEP meeting? • If the student answered **YES**, mark this item **I** • If the student answered **NO,** mark this item **O** • If the student does not know or remember, mark this item **U**.

III.A.5.b
 	
TC, SI
	Documentation of one or more student articulated measurable post-secondary goal(s)
	
	Student File Review Method: Review the IEP to determine if it includes a statement that articulates what the student would like to achieve after high school **and** the statement is based on the student's strengths, preferences, and interests in **at least one** of the following areas: education; training; employment; and, when appropriate, independent living skills.
	
	Mark this item **I** if the measurable post-secondary goal(s) is stated in such a way that one **could** measure the extent to which the student achieved what he/she set out to do **and** that the student's strengths, preferences, and interests are reflected in the post-secondary goal(s).
	
	Mark this item **O** if there is no evidence of a post-secondary goal; if the post-secondary goal is not measurable; or if the post-secondary goal(s) is not based upon the student's strengths, preferences, and interests. **This item may not be marked U**
	
	Examples:
	
	• **Training Goal: (Student wants to work in family's plumbing business)**
	    Dan wants to enroll in a plumbing apprenticeship program. = **I**
	    Lucy is interested in plumbing. = **O**
	• **Education Goal: (Student wants to be a math teacher)**
	    Joe will enroll full-time in a teacher prep. program. = I
	    Kevin says his parents want him to go to college. = **O**
	• **Employment Goal: (Student wants to work in the construction industry)**
	    Lisa will work full-time as a general laborer for a construction company. = I
	    Andrew likes fixing things and earning money. = **O**
	• **Independent Living Skills Goal: (Student wants to live away from home)**
	    Juan will live with a roommate in an adult supervised setting = **I**
	    Eva wants to move away from home. = **O**

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Interview Method:

Did the student attend his/her meeting?

If the student answered **YES,** determine how the student participated in the meeting.

If the student can articulate at least one of the following items or something similar, mark this item **I**. If the student has trouble articulating one of these items, prompt the student by giving an example:

Examples:
- We talked about what I want to do when I get out of school. = **I**;
- I told them the classes I want to take. = **I**
- We talked about the kind of job I want to have. = **I**
- I told them what I like to do. = **I**

If the student answered **NO or I don't remember**, note the student's reasons. Determine what measures were taken to get information from the student regarding his/her preferences, interests, strengths, needs and goals for the future prior to the meeting. If the student is able to articulate at least one of the following items or something similar, mark this item **I.** If the student has difficulty articulating one of these items, prompt the student by giving an example.

- My teacher worked with me on picking out classes to take
- I took an interest inventory to help determine what I want to do after school
- They helped me get some work experiences
- My teacher met with me before the meeting

If the student answered in a way that indicates that he/she was not consulted prior to the meeting, mark this item **O.**

If the student appears non-responsive to the probes, the interviewer has the option to mark this item **U.**

III.A.5.c TC	Documentation that the post-secondary goals were derived from age-appropriate transition assessments. Student File Review Method: Review the IEP for supporting information and locate summaries of any transition assessments. The information may be located in multiple places within the IEP including the PLAAFP or transition services page. Mark this item **I** if documentation is evident. Transition assessments may include: - Interest inventories - Interviews - Skills inventories - Rating scales for specific areas - Intellectual functioning assessment - Adaptive behavior scales - Aptitude tests - Self-determination scales - Pre-vocational/employment scales If there is no documentation of any transition assessments, mark this item **O.** This item may be marked U if the student is not yet 16 years of age.
III.A.5.d TC, SI	Documentation of one or more transition services/activities that support post-secondary goal(s). Transition services should consider the area of instruction, community experiences, related services, employment, and other post-school adult living, and, if appropriate, daily living skills and functional vocational evaluation. Strategies should address activities performed on the school campus and during school hours as well as off-site and during non-school hours. (The IEP team does not need to address all of these components if not appropriate for the student). Student File Review Method: Look for activities that facilitate movement from school to the student's identified post-school goal(s). Examples: Instruction - Enroll in a computer course to learn specific software. = I - Intensive reading instruction to prepare for postsecondary education = **I** - Required courses for graduation. = **O** Community Experiences: - Investigate youth volunteer programs; obtain a state identification card; visit the mall and food court with a provider to identify stores and meals of choice. = **I** - Field trips; volunteer; visit the mall = **O**

III.A.5.d Con't	Related Services:

Related Services:

- At the beginning of senior year, visit potential post-school providers of physical therapy; explore city transportation options. = **I**
- Related services will be provided as needed. = **O**

Employment

- Work toward obtaining a manicurist license; take the Armed Services Vocational Aptitude Battery (ASVAB); = **I**
- Consumer Math; Job Service Skills = **O**

Post-school adult living

- Learn about expectations for eating in a restaurant; apply for housing assistance; visit adult service providers in the community. = **I**
- Apartment. = **O**

Daily Living Skills (if appropriate)

- Learn to prepare balanced meals; prepare an initial housing budget; with parental support select a primary care physician and dentist= **I**
- Hygiene = **O**

Functional Vocational Evaluation (if appropriate)

- Develop a vocational profile based upon functional information; participate in situational work assessments at employment sites related to student's interests*.* = **I**
- Conduct functional vocational evaluation. = **O**

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Interview Method:

Coordinated set of activities / Post-secondary goal(s)

If the student answered **YES** and was able to articulate at least one of the following items or something similar, mark this item **I:**

- The name or position of an individual(s) who might assist him/her with post-secondary plans.
- Ways in which someone will help him/her
- Specific things that someone is helping him/her with at the present time

If the student has difficulty articulating one of the above items, prompt the student with specific questions:

- Will someone in your family help you out? What do think they might do?
- Have your teachers or someone at the school talked about what they might do to help you?

	If the student is in the 11th or 12th grade and it is the interviewer's perception that there has been no discussion of personnel supports/activities for post-secondary goals, mark this item **O** If the student is a sophomore or younger and/or is unresponsive, the interviewer has the option to mark this item **U**.
III.A.5.e. TC, SI	The student's course of study supports the identified post-secondary goals. Student File Review Method: Determine if there is documentation of the courses of study. This should be individualized for the student, listing the courses directly related to the student's desired post-secondary goal(s). Multiple years of coursework should be outlined. Examples: Post-secondary goals: "I would like to become a social worker, the kind who helps kids. I enjoy cooking and would like to serve meals at the homeless shelter." Course of Study: • Age 15/16 – Life Skills Math, Life Skills Language Arts; Social Living Skills; Community-Based Instruction; Portfolio Development; P.E.; Community-Based Assessment; Age 16/17 -- Life Skills Math-money management; Life Skills Language Arts; Portfolio Development; Work Experience; Food Preparation; Daily Living Skills; P.E.; Social Living Skills • Age 17/18 -- Life Skills Math – Purchasing & Budgeting; Life Skills Language Arts; Portfolio Development; Work Experience; P.E.; Daily Living Skills; Independent Living skills; Social Living Skills ☞ **Interview Method**: If the student can articulate that he/she has participated in the decision-making process regarding coursework or if the student can identify specific classes he/she believes will help with post-secondary goal(s), mark this item **I.** If the student is unable to articulate a connection between his/her coursework and post-secondary goal(s), mark this item **O.** If the student is unresponsive, the interviewer has the option to mark this item **U.**

III.A.5.f TC, SI	By age 17, the student's IEP must contain a statement that the student has been informed of his or her rights that will transfer to the student at age 18. Student File Review Method: Look for a statement in the IEP that the student has been informed of the rights that will transfer to the student on reaching the age of majority. In addition, look for documentation that both the individual and the parents were notified that all rights accorded to the parents transfer to the student. Documentation may consist of items such as: procedural safeguards notice provided to student and parents; prior written notice; statement on IEP; etc. This item may be marked **U** for any student not aged 17 or older. ☞ **Interview Method**: Ask if the student was informed of his or her rights that will transfer to the student at age 18. If the student answered **YES,** and is able to articulate at least one of the following items or something similar, mark this item **I.** If the student has trouble articulating one of these items, prompt the student by giving one of the following examples. ● I will receive notices of IEP meetings in writing. ● I can disagree with my IEP and receive help to do this. ● I can invite people who understand me to my IEP meeting. ● My evaluation and IEP will be explained to me in a way I can understand. ● I will be given copies of my IEP and any evaluations. If the student answered **I don't know or I don't remember,** prompt the student by giving one of the examples listed above. If the student remembers that the transfer of rights was explained, mark this item **I.** If the student still cannot remember or doesn't know, mark this item **U.** If the student answered **NO,** prompt the student by giving one of the examples listed above. If the student continues to answer **NO,** mark this item **O**. Mark this item **U** for any student other than students aged 17 or older.

III.A.5.g TC	There is documentation of a summary of academic achievement and functional performance including recommendations to assist an exiting student in meeting her/his post-secondary goals. Agency Review Method: Look for documentation that includes **three components**: summary of academic achievement; summary of functional performance; and recommendations to assist the student in meeting postsecondary goal(s). Ask the PEA for a copy of a summary of academic achievement and functional performance developed for a student who graduated/aged out at the end of the 2006 school year. If the PEA had no students aged 16-21 graduating/aging out last year, mark this item **U.** If the PEA has documentation of a summary of academic achievement and functional performance, mark this item **I.** If there are multiple campuses, use the PEA's list of exited students to select at least one summary from each campus.
III.A.6.a CL-4	The location of each service or adaptation is included. Student File Review Method: The location of services generally refers to the type of environment that is the appropriate place for provision of the service. The location should not be a specific room (e.g., Mrs. Smith's class) but should reflect the type of location (resource room, general math class). **This item cannot be marked U.** Examples: - Campus = **O** - Mr. Wilson's Room = **O** - Resource Room = **I** - General Education classroom = **I**
III.A.6.b CL-4	The extent the student will <u>not</u> participate with non-disabled peers is explained. Student File Review Method: Determine if the IEP contains an explanation of the extent of noninvolvement with non-disabled students. This could be documented in a variety of ways or places within the IEP. **This item cannot be marked U.**
III.A.6.c CL-4	The communication needs of the student were considered. Student File Review Method: Determine if the communication needs of the student have been considered within the IEP. **This item cannot be marked U.** Examples: - Peter's stuttering increases when speaking before a group without notes. He should be allowed to read classroom reports at the beginning of the year and gradually reduce his dependency on reading as the year goes on. = **I** - Paul uses simple signs to convey basic needs such as toileting and hunger. = **I** - N/A = **O** - Mary has no communication deficits = **I**

III.A.6.d CL-4, TI, SPEDI, PI	The student's need for assistive technology devices and services were considered. Student File Review Method: Determine if consideration was given to the student's need for assistive technology, regardless of disability. An AT device can be "any item that increases, maintains, or improves the functional capabilities of a student." AT service is the "direct assistance needed in the evaluation of the need for and the selection, acquisition, or use of an AT device." Devices can range from low to high tech. AT services may include training for staff in the use of the device(s). **This item cannot be marked U.** ☞ **Interview Method:** The special education administrator, principal, and teacher(s) should be able to explain what the IEP team's responsibility is with regard to assistive technology in both instruction **AND** assessment. If they can explain the team's responsibility, mark this item **I**.
III.A.7.a CL-2	The language needs of the student who is an English learner (EL) were considered. Student File Review Method: Mark the item only for a student who is an English Learner; otherwise mark with a **U**. Examples: ▪ This is Paulo's first year in the US and his primary language is Italian. He should be taught using simple grammar with picture/graphic assists as much as possible. = **I** ▪ Misaki has studied English for several years and has a good command of written language. However, spoken information must be presented slowly and in short segments until oral proficiency is achieved. = **I**
III.A.7.b CL-2	For students who are **visually impaired**, or students with multiple disabilities including a visual impairment, the need for Braille was considered. Instruction in Braille is provided for students who are considered to be blind unless there is 100% agreement by the IEP team that instruction in Braille is not necessary. Student File Review Method: If student is not VI mark **U**. Arizona statute is more specific on this topic than is federal statute. If Braille is **NOT** to be provided to a blind student, the IEP team must document consensus that the visual impairment does not affect reading and writing performance commensurate with ability.
III.A.7.c CL-2	For students who are **hearing impaired**, the IEP includes consideration of the student's language and communication needs (including opportunities for direct instruction in the student's language and communication mode) were considered. Student File Review Method: If a student is not HI mark **U**. If student is HI, determine if the IEP team took into account the language levels and communication mode of the student when developing the IEP and making a placement decision.

III.A.7.d CL-3, CL-4	The IEP documents potential harmful effects or drawbacks to the placement that was selected for the student.
	Student File Review Method: Review the documentation of potential harmful effects or quality of services for the student. There must be evidence of a discussion about whether the potential harmful effects of the recommended placement outweigh the potential positive effects of the placement. The harmful effects must be considered individually and boilerplate statements are not appropriate.
	Examples: • No harmful effects= **O** • None= **O** • Higher pupil/teacher ratio in general education classroom= **I** • Peter will miss part of his general education social studies class when he goes to speech therapy= **I** **This item cannot be marked U.**
III.A.8 GC, PS, TI	The current progress report provided a measurement of progress toward IEP goals.
	Student File Review Method: Review the most recent progress report to determine if it provides sufficient information for the parents/staff to project whether or not the student will achieve his/her goal(s) by the end of the IEP year. Information should be provided for each goal and the rate of progress should be reported in a manner consistent with the PLAAFP and/or the associated goals.
	Example: • The goal indicates that the student will achieve X% of accuracy and the progress report indicates the student is now performing a ¾ X % accuracy = **I.** • The goal indicates the student will multiply 3 digits by 2 digit numbers with 90% accuracy and the progress reports that student is 50% accurate at 2-digit by 2-digit numbers = **I** (Note: Lack of sufficient progress may require PEA action but the progress report meets the standard as it alerts the team members to a problem). • The PLAAFP indicates 10 office referrals for aggressive behavior and the IEP goal is 2 or less referrals in a semester. The progress report indicates "AP" [Adequate Progress] = **O.** • The PLAAFP indicates 10 office referrals for aggressive behavior and the IEP goal is 2 or less referrals in a semester. The progress report indicates "AP" [Adequate Progress] AND a note on the report states the student has been referred only once since the last quarterly report = **I.** ☞ **Interview Method:** The teacher(s) should be able to explain how student progress toward IEP goals is determined and reported. If the teacher(s) can explain the process, mark this item **I.**

III.A.9 GC, PS, SETS, GETS, RSPS, TI	Documentation that IEP reflects individual student needs. This item is looking at the cohesiveness of the IEP as a whole and requires that the IEP reflect the student's individual needs. Student File Review Method: Consider all of the following: - Evaluation information (if conducted within the last year); - PLAAFP; - IEP goals; - For a student 16 years of age or older, the student's preferences and interests, and; - Services to be delivered. There should be a clear alignment between the student needs (as articulated in the evaluation and PLAAFP) and the goals and services identified on the IEP. ☞ **Interview Method**: The teacher(s) should be able to discuss whether the IEP accurately reflects the student's needs. If the teacher(s) can explain the response, mark this item **I.**
IV.A.1 GC, SETS, GETS, RSPS, SPEDI CO	Services are being provided as described in the IEP. **Interview Method**: Probe to determine if all services (including transition services) are being provided as specified in the IEP. **Observation Method**: Select a student for a classroom observation based upon a reviewed file. Before you observe the student, record short versions of the PLAAFP, goals, adaptations, services, and supports documented on the IEP. Conduct an observation to determine if services indicated on the IEP are being provided. The time of the observation should be scheduled so that the student is engaged in IEP-driven activities during the observation. While it is unlikely that you will see instruction in all goal areas when you observe, you should note alignment of some goals with activities during your observation. Based on the interview responses and the classroom observation, determine if the IEP is being implemented as written. - If any service is not being provided, mark this item **O** and indicate on the drop down menu within the database that some, but not all services have been provided. - If no special education services have been provided, mark this item **O** and indicate on the drop down menu within the database that NO services have been provided.

IV.A.2.a PC	For children previously served by AzEIP, PEA attended preschool transition meeting. Student File Review Method: Look for documentation that the PEA attended the preschool transition meeting. Evidence can be found in the form of meeting notes, conference summary, or transition planning form. Mark this item **"I"** if there is any of the above documentation.
IV.A.2.b PC	For children previously served by AzEIP, preschool transition plan was maintained. Student File Review Method: Determine if the PEA maintained a copy of the AzEIP Transition Planning Form Part II: Conference Summary or has other documentation of a transition plan. Mark this item **"I"** if PEA has either form of documentation.
IV.A.2.c PC	For children previously served by AzEIP, AzEIP representative was invited to the initial IEP meeting. Student File Review Method: Determine if PEA maintained documentation that AzEIP staff was invited to the initial IEP meeting. Mark this item **"I"** if there is evidence that AzEIP was invited to the meeting.
IV.A.2.d. PC	For children previously served by AzEIP, FAPE made available on or before their third birthday. Student File Review Method: Determine if an IEP was developed and FAPE offered by the child's 3rd birthday by comparing the date of the IEP and the date of birth. If an IEP that ensures FAPE was offered on or before the child's 3rd birthday, mark this item **I.** If the initial IEP was not developed before the child's 3rd birthday, mark this item **O.** **For preschool children not previously served by AzEIP and for school-aged children, mark this item U**
IV.A.3 GC, SETS, PI, TI, SPEDI	PEA must ensure that a continuum of service options is available for students with disabilities. Interview Method: Determine if: • Students are placed in multiple service delivery modes (resource, self-contained, supplemental aids/services, etc.) OR • Ideas about how individual student needs can be accommodated (if a need was present) can be articulated Mark the item **O** if all enrolled students are in the same service delivery mode and the administrators and teacher(s) interviewed do not have any realistic alternatives. Mark the item **O** if there are no current special education students enrolled **and/or** the administrators and teacher(s) cannot describe the service options that would be available if students enroll.

V.A.1 GC, SETS, GETS, RSPS	Documentation that all school-based staff understands confidentiality. Interview Method: Review the responses given by each staff member when interviewed. If s/he was able to list three things s/he learned related to confidentiality, mark this item **I**.
V.A.2.a GC	Procedural safeguards notice provided to parents within the last 12 months. Student File Review Method: If documentation is evident that the parent was given a copy of a Procedural Safeguards Notice at least one time during the current year, mark this line item **I.**
V.A.2.b GC	Prior written notice provided to parents at required times. Student File Review Method: Determine when the PWN should have been distributed <u>in the last twelve months</u> for the type of file being reviewed. • A PWN must be provided when a student is <u>referred for an INITIAL evaluation</u>. • A PWN must be provided <u>before obtaining consent for the collection of additional data </u>in the evaluation process. This is the proposal to collect additional data for evaluation. • A PWN must be provided <u>after the team has determined the eligibility</u> of a student for special education. This completes the evaluation process. • A PWN must be provided when there is a <u>change or refusal to change the provision of FAPE: before implementation of an initial IEP or before a revised IEP can be implemented</u>. In the case of a phase out or graduation with a regular diploma, a parent should know that all special education services will cease. • A PWN must be given <u>prior to the 11th day of suspension and/or before an accumulation of suspensions constituting a pattern and/or at the beginning of an expulsion</u>, all of which require a change in services and the provision of FAPE. Prior to placement in an IAES, a PWN must be issued. • A PWN must be provided when there is <u>a change or refusal to change the educational placement</u>, including an initial placement. Verify the purpose of each PWN provided for specified events. Use this information to determine compliance. If a single notice covered multiple purposes, determine process compliance (notice given at the correct time) for all that are appropriate. If the PWN was given at the appropriate time, mark this item **I**.
V.A.2.c GC	Required notices are provided in the native language of the parent. Student File Review Method: Review the file for copies of the most recent notices (invitations to meetings, procedural safeguards notices, and prior written notices) sent to the parents. Compare the language of the notices to the primary language indicated on the student file review form. If the parent has requested in writing that notices be sent in a language other than their native language, it is permissible for the notices to be sent in the requested language. The language of the <u>student</u> must be considered when the student is invited to the IEP.

V.A.2.d
 	
GC, PS,
SPEDI
	Parents are provided opportunities to be active participants in all special education decisions regarding their child.
	
	Interview Method: The special education administrator should be able to explain the various methods used to provide opportunities for parent participation. Examples include:
	    ● Multiple methods of communication
	      Examples:
	        o Emails
	        o Telephone calls
	        o Notebooks between school personnel and home
	
	    ● Multiple options for participation
	      Examples:
	        o Conference calls
	        o Making DRAFT documents available prior to meetings
	
	    Pre-planning activities
	    ● Multiple strategies for language differences
	      Examples:
	        o Using translators
	        o Forms translated
	
	If the administrator can articulate strategies **currently** being used to include parents in the decision-making process, mark this item **I.**

V.A.3.a
 	
CL-5
	The PWN includes: A description of action(s) proposed or refused by the PEA is included. All actions and refusals must be identified, should be student centered, and should accurately reflect decisions made.
	
	Student File Review Method: Documentation must include a description of actions proposed or refused by the team.
	
	Example:
	
	   • NA = **O**
	
	   • Jackie doesn't want to come to school. = **O**
	
	   • The district proposes that services will be provided to John in accordance with his IEP developed on 09/05/06. The team declined to place John in a more restrictive math placement as requested by his math teacher. = **I**
	
	   • The evaluation team proposes to collect additional information on Ian's behavioral functioning with standardized assessments. = **I**
	
	Mark this item **I** if the PWN contains the required component.

V.A.3.b CL-5	The PWN includes: An explanation of why the agency proposed or refused to take action. Student File Review Method: There should be a statement that is student-specific. Example: - NA = **O** - John's IEP has been reviewed and services have been adjusted according to his present levels of performance and goals in math. John is currently receiving a grade of C- in his regular education math class without modification in grade level or change in performance criteria. = **I** - Ian's performance in the classroom seems to be hindered by his behavior and the team needs the data to accurately assess eligibility and develop appropriate behavioral strategies. = **I** Mark this item **I** if the PWN contains the required component.
V.A.3.c CL-5	The PWN includes: A description of any options considered and why options were rejected. Student File Review Method: Documentation should relate specifically to the student. Example: - NA = **O** - The alternate school is full. = **O** - While the team discussed increasing the special education services provided for John, it was decided that he continues to require resource room assistance in reading and written expression and paraprofessional support in his regular education math class. Due to his success in math, a resource math placement was not seen as appropriate. = **I** - The team believes that observations alone will not provide enough information about Ian's current behaviors. = **I** Mark this item **I** if it contains the required component.

V.A.3.d CL-5	The PWN includes: A description of evaluation procedures, test, records used as a basis for the decision. Student File Review Method: Documentation must support the basis on which the decision rests. Example: - NA = **O** - Jackie's counselor said she had always had these problems with attendance. = **O** - The team considered John's quarterly progress reports, weekly test grades, scores on the district assessment, and work completion data. = **I** - There has been no standardized assessment of Ian's behavior in the past and his parents report that he has never had any behavioral difficulty before. They further report that there has been nothing in his family life that might account for the sudden problematic behaviors. = **I** Mark this item **I** if the PWN contains the required component.
V.A.3.e CL-5	The PWN includes: A description of any relevant factors. Student File Review Method: Documentation related to other factors should be evident. Example: - NA = **0** - This school has a strict discipline and attendance policy. = **O** - John continues to need additional direction from the paraprofessional in order to complete assigned work. He has demonstrated ability in working with the peer tutor and cooperative learning groups that are used in the regular education math. = **I** - Because of the recent behavioral concerns, the evaluation team has chosen not to wait until next April when Ian's reevaluation is due. Parents signed consent for assessment on this date. = **I** Mark this item **I** if the PWN contains the required component.
V.A.3.f CL-5	If the PWN is for any reason other than an initial referral for evaluation, it includes a statement of how a copy of procedural safeguards notice (PSN) can be obtained. Student File Review Method: There must be a statement of the contact **person** within the district/at the school site that can provide PSN. Mark this item **I** if the PWN contains the required information. If the notice was for initial referral for evaluation, the PSN should have been sent with the PWN and may be marked **U**.

V.A.3.g CL-5	The PWN includes: Sources to obtain assistance in understanding notice. Student File Review Method: There should be contacts available including address and telephone numbers for a number of parent resources which may include: Arizona Department of Education/Exceptional Student Services, Arizona Center for Disability Law, and Raising Special Kids Pilot Parents. One of the sources could be the PEA, including the PEA's phone number and contact name. Mark this item **I** if the PWN contains the required components.
V.A.4.a CL-3	For a student who has been suspended for more than 10 days, the parent was notified on the day the decision was made. Student File Review Method: Review the student's file to determine if there is documentation that the parents were contacted in person or by telephone. This contact must be made on the same day as the decision to take the action. If such a record is found, mark this item **I**. If no record is found, mark this item **O**.
V.A.4.b CL-1, CL-3, CL-4	For a student who has been suspended for more than 10 days, a Functional Behavioral Assessment (FBA) was conducted (or reviewed if already in place). Student File Review Method: Review file to determine if a FBA was conducted or reviewed.
V.A.4.c CL-1, CL-3, CL-4, CO, PI, SPEDI	For a student who has been suspended for more than 10 days, behavior interventions were implemented, or reviewed when already in place. Student File Review Method**:** Review file to determine if behavior interventions were implemented or reviewed. ☞ **Interview Method**: The principal, special education administrator, and teacher(s) should be able to explain when a BIP needs to be developed and how they ensure its implementation. If they can explain this process, mark this item **I**.
V.A.4.d CL-3, CL-4, PI	If a change in placement has occurred because of behavioral issues, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior. Student File Review Method: If the IEP team conducted a review and made a manifestation determination (however flawed) mark this item **I.** If there is no documentation that a meeting occurred or if no determination was made, mark this item **O**. ☞ **Interview Method**: The principal should be able to explain the manifestation determination process including how and when it occurs. If the principal can articulate the process, mark this item **I**.

V.A.4.e CL-3, CL-4	If, as a result of a disciplinary action, the IEP team determined that behavior *was a manifestation* of the student's disability, the student was returned to the placement from which the student was removed unless the removal was for possession of a weapon, drugs, or infliction of serious bodily injury or parents and PEA agree to the change of placement. Student File Review Method**:** Review the student's file to determine if the student was returned to the placement from which the student was removed unless the parent and the PEA agree to a change of placement.
V.A.4.f CL-1, CL-3	Review the file to determine if the student who has been suspended or expelled continued to be provided FAPE, including services and adaptations described in the IEP. Student File Review Method: Review the student's file to determine if a new IEP was written indicating how this will occur. If a new IEP was not written, there should be meeting notes or other documentation regarding the services that will be provided and how they will be provided.

V.A.5
 	
CL-3, PI,
SPEDI
	All school-based staff members involved in the disciplinary process understand the requirements on suspension and expulsion.
	
	Interview Method: The administrators should respond with some specific examples of training, such as:
	
	     • Staff in-service
	     • Workshop and conference attendance
	     • Ongoing legal updates
	     • Policy and procedure review
	
	If the administrators are able to articulate the methods used to train staff on the disciplinary process, mark this item **I.**

Directions for Scoring Surveys

These directions are used to score all four surveys (PS- Parent Survey, GETS- General Education Teacher Survey, SETS- Special Education Teacher Survey, and RSPS- Related Service Provider Survey). The purpose of the surveys is to obtain consumer and provider feedback regarding the implementation of special education policies and procedures. The information contained in the surveys is considered confidential and should be maintained according to the PEAs policies on confidentiality.

	Instructions: Most of the questions on the surveys can be answered with **YES or NO** AND REQUIRE NO FURTHER EXPLANATION. An item marked as a "Yes" should be scored as **I.** An item marked as a "No" should be scored as **O**. Some survey responses may contain comments. Team members should use professional judgment when reading the comments. If it is clear to the reader that the intent of the answer is different than the marked answer (if marked), then the answer should be changed. If a question is not answered, mark the item **U**.
No Citation	Describe the good things going on in the district's/charter's special education program. This item is used to solicit information regarding the strengths of the agency's special education program. The strengths as articulated by the respondent will be listed with strengths identified by others, and prioritized by the monitoring team for the Monitoring Overview.
No Citation	What concerns do you have about the district's/charter's special education program? This item is used to solicit information regarding any areas of concern that are confronting the PEA in the provision of special education services. The concerns as articulated by the respondent will be listed with concerns identified by others, and prioritized by the monitoring team for the Monitoring Overview

Guide Steps for Monitoring
Results Drill Downs

The U.S. Department of Education, Office of Special Education Programs (OSEP) has directed the states to establish a 100% compliance rate for three specific requirements of the IDEA 04. These areas are:

1. PEAs are meeting the 60-day timeline for completing an evaluation/eligibility determination when conducting an initial evaluation for special education.
2. Appropriate transition planning has occurred for students 16 years and older.
3. Children who have been served in the state's early intervention program (AzEIP) have a Part B eligibility determination and, if eligible, an IEP developed on or before their 3rd birthday.

In addition, the OSEP has directed states to drill down to determine root causes when any PEA has failed to meet the 100% compliance target. Because Arizona collects the information regarding compliance on these three items through the monitoring process, PEAs that do not meet the acceptable level during their monitoring must investigate the reasons for missing the target as part of their corrective action work. The following drill downs are provided to assist with this task.

A finding of partial or noncompliance on one or more of the following line items will result in the appropriate drill down appearing in the PEA's supplemental CAP.

- II.A.5.b – 60-day evaluation timeline
- III.A.5.b. – Measurable post-school goals
- III.A.5.d – Transition services
- IV.A.2.d – IEP in place by the 3rd birthday

The PEA must investigate the area(s) of concern and present their findings before the monitoring can be considered "closed." This requirement is in addition to the requirement to demonstrate 100% compliance on the identified line items prior to closing.

Evaluation Analysis Worksheet

Identify all files with initial evaluations conducted within the past 12 months where the timeline from consent to eligibility determination exceeded the 60-days. Analyze these files to identify the root causes of the failure to complete the evaluations within the timelines. Consider all of the following:

1. Does the PEA have a tracking system that provides the special education staff with the ability to follow the progress of a student through the evaluation process in order to ensure that timelines are not missed because of inattention to deadlines?

2. If staff availability or performance is evident as the cause of a delay, analyze the quantity and qualifications of staff within the PEA to determine their ability to complete the evaluation process within timelines. Include an analysis of the ability to evaluate low incidence disability areas.

3. Determine if there has been an increase or decrease in percentage of qualified & fully certified staff over the last 3 years

    *   If so, determine what factors contributed to that change
    *   Identify activities the PEA has undertaken to improve percentages in the areas of hiring, retention, personnel development, and salary analysis.
    *   Identify the number of unfilled evaluator positions in your PEA during the current school year.
    *   Examine the number of contracted evaluators, including bilingual evaluators. How do these numbers impact the process?

4. Analyze your evaluation process, including the tracking system once a student has been referred for an evaluation.
    *   Explain your process for the review of existing data.
        o   What are the roles and responsibilities of each member of the MET? How do the roles and responsibilities impact your process?
        o   Examine the manner in which the team determines what, if any, additional data is needed?
        o   At what point in the process is parental consent acquired? How does this impact timelines?
    *   Examine the impact of case loads on the process. Do you need additional staff or more explicit agreements with contractors?
    *   Examine your process when the evaluation needs of a student exceed your staff's area of expertise or experience. Do you have ready sources to follow-up on vision, hearing or behavioral concerns? Has the need for medical certification contributed to any delay?
5. Develop a plan to remediate any of the factors identified in your analysis in order to ensure all future evaluations are completed within the 60-day timeline.

"In By 3" Analysis Worksheet

1. Review all preschool files for students who were served by AzEIP prior to enrolling in the district and calculate the following data by campus:
   - The total number of children referred to your district by AzEIP.
   - The number of children found eligible for preschool special education services
   - Of those found eligible, the number of children with an IEP developed prior to their 3rd birthday and percent of compliance). **Acceptable percentage is 100%**
   - The number of children who did **NOT** qualify for preschool special education services.
   - Of those **NOT** eligible, the number of children who were determined not eligible prior to their 3rd birthday and percent of compliance. **Acceptable percentage is 100%**

2. Compare the data collected within the district to the data reported by the district through the SAIS system. If there is a discrepancy between the numbers, investigate the causes for the differences and resolve the differences by correcting the inaccurate report.

3. Using the information from above, identify the factors that may have negatively affected the PEA's percentages. The PEA must report on the following:
   - For every eligible child who did not have an IEP developed prior to their 3rd birthday, the reasons why there was a delay in IEP development.
   - For every ineligible child whose eligibility status was not determined prior to their 3rd birthday, the reasons why there was a delay in the eligibility determination.

4. Outline the PEA's procedures once transition notification is received from AzEIP. Include a discussion of the "who", "where", "how", and "when" with respect to the transition process from the initial meeting to the development of the initial IEP.

5. Examine the PEA's current preschool evaluation process by campus to document:
   - How timelines and individual students are tracked
   - The number of assigned personnel and their individual responsibilities
   - The number of contracted evaluators utilized
   - The impact of evaluators' individual caseloads
   - The availability of specialized evaluation staff (bilingual, VI, HI, etc)

6. Identify the procedures that are in place to ensure that any eligible child whose 3rd birthday occurs during an extended school break has an IEP in place prior to his/her 3rd birthday.

7. Develop an action plan to address areas of concern and specific strategies for improvement regarding the provision of services by age 3 – including coordinating with AzEIP to strengthen procedures, if applicable.

Note: It is recommended that the district access the technical assistance and training available through the ADE Early Childhood Special Education Division to address the identified areas of concern.

Transition Analysis Worksheet

Review all files of students 16 years of age and older to determine each cause related to partial or non-compliance of measurable post-secondary goals and transition services/activities that support post-secondary goals.

1. Review current IEP forms to determine if they facilitate compliance of measurable post-secondary goal(s) **AND** the development of services/activities that support the articulated post-secondary goals.

2. Analyze and document the level of knowledge of the special education staff regarding the required components of the transition process:

   a. Examine the years of experience working with students 16 years of age and older.
   b. Identify the number and types of trainings, conferences, and course work staff have participated in outside of PEA.
   c. Outline the number of professional development opportunities related to transition offered within the PEA.

3. Determine if there is any inconsistency in the levels of compliance between schools. If so, identify specific factors that may have contributed to the number of noncompliant or compliant student files at each school.

4. Determine if the PEA has identified a sufficient number of appropriate transition resources. List those resources currently being utilized and develop a list of other possible resources that could facilitate transition services/activities.

5. Determine if the PEA staff have the training and procedures necessary for selecting the appropriate type of transition assessment for a student. Provide a written discussion of how these decisions are made as well as the manner in which the age-appropriate transition assessments will be implemented.

6. Examine the involvement of personnel in transition planning and development. Has the PEA designated one or more individuals to assume this responsibility? Describe the manner in which the PEA has interacted with their ADE Transition Specialist. If no working relationship has been established, outline the steps you will take to ensure such a partnership.

7. Develop a plan to remediate any of the factors identified in the analysis to ensure compliance in the areas of post-secondary goals and transition services/activities.

Guide Steps
For Student Outcome Improvement Drill Downs

The attached worksheets are designed to assist your agency in taking a close look at what factors might be causing a less than desirable outcome for your enrolled students with disabilities. They does not purport to capture all of the possible variables that may come into play within your environment, but they do give you a starting point from which to begin discussion with your staff, parents, and, where appropriate, students.

Work Group: The best results will be obtained with broad stakeholder input. The specific makeup of your work group will depend upon the topic being investigated and the particular circumstances of your school. You must include a list of participants (including their roles) in your final report/action plan:

Report Submission: The final report/action plan must be submitted to the ADE/ESS specialist assigned to your agency through electronic mail by the deadline noted below. If there are attachments to the report that are not available electronically, they may be transmitted by U.S. Mail to the appropriate office (Phoenix, Tucson, or Flagstaff). Please note in your electronic submission that additional documents are being sent separately.

Report Length: The work sheets are designed to be guidance documents for your work at the local level. The report to the ADE/ESS need not capture all of the details of the work considered or completed at the school/district level. The report/action plan submitted to the ADE/ESS should:

- Summarize the findings of the work group – identifying both areas of strength and concern;

- Establish a target for improvement and an anticipated timeline for reaching the target. For some indicators, the timelines for change can be fairly short (e.g., Cluster 1: Dropout rate or Cluster 3: Suspension rate). For other indicators, change will occur more slowly and timelines will reflect more gradual improvement in outcomes.

- Report on the specific steps identified by the work group to improve the results for students with disabilities. Indicate timelines and responsible parties for each action step.

The report to the ADE/ESS should follow the format presented on the next page.

Agency Name: _____ Submission Date: _____

Cluster/Indicator Identified for Improvement: _____

Work Group Participants:

Name	Role
Add rows as necessary	

Summary of Work Group Findings:

Add space as necessary

Targets for Improvement	Measurement
Add rows as necessary	

Action Steps	Timelines for Action	Responsible Parties
Add rows as necessary to detail your plans		

Cluster 1: Dropout Analysis Worksheet

1. Review the numbers submitted to ADE/ESS related to dropout to determine if your agency reported accurately by exit code. If your numbers were reported **inaccurately**, detail how the data was incorrectly gathered or tabulated by exit code and report a corrected tabulation to ADE promptly.

2. Determine if your agency has an effective procedure to ensure that the exit code for any student who had previously been coded as either "dropped out" or "moved, not known to be continuing" is changed once the agency receives a request for records from another school.

3. Compare the dropout rates for general education students with the rates for special education students. Describe the calculations you used to make that comparison and discuss your findings. If the special education rate exceeds the general education rate, develop some hypotheses as to the reasons for the difference. Investigate the hypotheses by interviewing students with disabilities who have dropped out.

4. Review the transition plan for each special education student who dropped out. Document any interventions that were made prior to the student dropping out and determine if changes to the IEP and / or transition plan including additional service delivery might have resulted in the student graduating.

5. Determine what process, if any, was used to connect students (who later dropped out of school) with programs and/or agencies that support students who are at-risk for dropping out. Identify the dropout prevention services the school currently utilizes.

6. Review the transcripts and courses of study for the students who have dropped out to determine if specific courses, specific grade levels, or any other pattern emerges from the group prior to they dropping out. Report the results of that review for any group of students with similar transcript history prior to dropping out.

7. Describe how transition services were provided to **each special education student** during the twelve months preceding the dropout in the academic year for which numbers indicate an unusually high dropout rate. If transition services were provided to some students and not others, please indicate what those services were and report how the provision of transition services correlated to the likelihood of dropout or graduation rates.

8. Describe the agency's participation in any school/district wide initiative to prevent dropping out and to increase the rate of graduation.

9. Describe any unique or special circumstances that the ADE/ESS unit needs to know in order to understand why your agency's rates are excessive.

10. Develop an action plan to address areas of concern with regard to the high drop out rate.

Cluster 2: Reading Analysis Worksheet

LRE Questions – Do you have the right service delivery system to serve your students well?

1. Analyze exiting placements by disability to determine options/patterns of the PEA.

2. Cross check reading achievement by placement to determine if students in some placements are demonstrating higher achievement than in others with the same disability.

   a. If so, identify factors contributing to such differences.

      i. Impact of the severity of the disability
      ii. Continuum at individual school sites

3. Identify the specific supports available to the students and teachers in the area of reading with respect to placement options.

4. Summarize the PEA's strengths and concerns with respect to LRE as it relates to reading achievement.

Certification Questions – Do you have staff who are well qualified to teach reading?

5. Determine if there has been an increase or decrease in the percentage of fully certified SPED teachers over the last three years.

   a. If so, determine what factors contributed to the change.
   b. Identify the activities the PEA has undertaken to improve certification percentages in the areas of hiring, retention, personnel development for credentialing, and salaries analysis
   c. Identify the number of unfilled special education positions existing in your PEA during the current school year.

6. If the PEA has under-certified staff, describe the strategies the PEA has used to provide special education services and ensure the under-certified staff members are moving toward full credentials.

7. Determine the numbers/percent of teachers (both general ed and special ed) who are "highly qualified" to teach reading.

8. Develop an action plan to address the improvement in the area of concern.

Curriculum Questions – Do you have reading curricula that are sufficiently responsive to varied needs?

9. Identify the reading curriculum used in the general education program. Does it meet the standards for "core reading program" that are identified in the Arizona Reads document dated January 2003?

10. What supplemental materials/curricula are in use for special education students? To what degree do these materials meet the criteria with regard to "explicit and systematic instruction" and "coordinates phonics/word recognition activities with fluency building".

11. What curriculum based measures (CBM) are used with general education and special education students (DIBELS, AIMSWEB, other, none)?

12. To what extent is the information from the CBM used to drive modifications to instruction?

13. Develop an action plan to address areas of concern with regard to reading curriculum.

Cluster 3: Suspension/Expulsion Worksheet

1. Review the definition of Arizona Administrative Code (AAC) definition of "suspension".

   "Suspension" means a disciplinary removal from a child's current placement that results in a failure to provide services to the extent necessary to enable the child to progress appropriately in the general curriculum and advance toward achieving the goals set out in the child's IEP. The term does not include disciplinary actions or changes in placement through the IEP process if the child continues to receive the services described above. The term does include actions such as "in-school" and "going home for the rest of the day" removals if the child does not receive the services described above."

2. Review the number submitted to the ADE/ESS related to suspensions/expulsions to determine if your agency reported accurately in light of the above definition. If your numbers were reported **inaccurately**, contact Peggy Staples at (602) 364-4024 to determine your next steps. If your numbers were reported accurately, complete the remaining portion of this worksheet and submit it to Ms. Staples by March 15, 2005.

3. Compare the suspension/expulsion rates for general education students with the rates for special education students. Describe the calculations you used to make that comparison and discuss your findings.

4. Review the disciplinary history for each suspended/expelled special education student. Document any interventions that were implemented prior to the decision to suspend the student and determine if changes in the IEP – including additional service delivery – might have resulted in behavioral changes that could have made suspension unnecessary.

5. Determine what process, if any, was used to connect the families of students with disciplinary issues to school-based or outside health and social services agencies. What resources does the school have to identify untreated mental/behavioral health issues?

6. Review the manifestation determinations for **each** suspended/expelled special education student, including the adequacy of the evaluation, IEP, service delivery, functional behavioral assessment, and behavior intervention plan. Report the results of that review for each student.

7. Describe how the agency provided services to **each** suspended/expelled student with disabilities during the period that exceeded 10 school days, listing the alternate settings used by your agency. If additional alternate settings were available but not used, please indicate what those options were.

8. Describe the agency's participation in any school/district wide discipline initiative such as the Positive Behavioral Supports Initiative, Character Counts, or any other structured school climate project.

9. Describe any unique or special circumstances that the ADE/ESS needs to know in order to understand why your agency's rates are excessive.

10. Develop a written plan to correct any non-compliance issues and to modify any school/district practices that have resulted in an excessive suspension rates for students with disabilities.

Cluster 4: School Age LRE Worksheet

1. Review the reporting requirement for Service Codes – particularly the requirement that you report the percentage of time that a student is **removed from the general education classroom** for special education services (<u>not</u> the amount of time the student is receiving special education.) If you find that you may have been reporting students incorrectly, contact Peggy Staples at (602) 364-4024 for technical assistance.

2. Examine the placement options in actual use in your agency for each disability group. Is there variability in placements within each disability or do you see any instances of all students with the same disability being served in exactly the same setting?

3. Develop the same type of chart using grade by placement data. Is the pattern of more restrictive settings seen in some grades but not in others or is the problem universal?

4. If you have multiple sites for each age group (elementary, middle, high school), examine the placement data by site. Use multiple years of data in order to determine if IEP team placement decisions are being influenced differently in different schools.

5. Examine the reasons that students in more restrictive settings are placed in those settings. Are they placed in self-contained programs because of behavior issues or because of educational need?

6. Describe the staff development that has taken place in the areas of:

    a. Diverse learners and cultural differences
    b. Behavior management strategies including functional behavioral assessment and behavior intervention plans
    c. Instructional strategies such as learning styles
    d. Collaboration skills
    e. Accommodations
    f. Assistive Technology

7. Inspect the physical plant at each facility to determine if there are access issues that prevent students from participating with their typical peers.

8. Inspect staffing patterns to determine if sufficient supports for general education teachers are available to support an inclusive environment.

9. Provide evidence that the decision-making process (IEP) was based on meaningful dialog related to the opportunity for integrated placements at the student level.

10. Describe your agency's standards (main beliefs) used to determine that the education of a child cannot be achieved satisfactorily in the general classroom.

11. What are the impediments to a more inclusive environment for students with disabilities in your agency? Include only those over which you have some control. Examples include such things as teacher attitude, administrative support, culture of collaboration, use of assistive technology, etc.

12. Develop a written plan to remove impediments to serving students with disabilities with typically developing peers to the maximum extent appropriate.

Cluster 4: Preschool Age LRE Worksheet

1. Review your placement data to determine if you have accurately reported placement information to the ADE through SAIS or SAIS On Line.

2. Examine the placement options in actual use in your agency for preschool students. Is there variability in placements by disability or do you see any instances of all students with the same disability being served in exactly the same manner?

3. Develop the same type of chart using age X placement data. Is the pattern of more restrictive settings seen in some ages (for example, 3-year-olds) but not in others or is the problem universal?

4. If you have multiple sites, examine the placement data by site. Use multiple years of data in order to determine if IEP team placement decisions are being influenced differently in different schools.

5. Examine the reasons that students in more restrictive settings are place in those settings. Are they place in self-contained programs because of lack of placemen alternatives or educational need?

6. Describe the staff development that has taken place in the areas of:

   - Diverse learners and cultural differences
   - Behavior management strategies including functional behavioral assessment and behavior intervention plans
   - Instructional strategies such as learning styles
   - Collaboration skills
   - Accommodations Assistive Technology

7. Inspect staffing patterns to determine if sufficient supports exist to support children in an inclusive environment.

8. Provide evidence that the decision-making process (IEP) was based on meaningful dialog related to the opportunity for integrated placements at the student level.

9. Describe your agency's standards (main beliefs) used to determine that the education of a child cannot be achieved satisfactorily in the regular preschool environment.

10. What are the impediments to a more inclusive environment for students with disabilities in your agency? Include only those over which you have some control. Examples include such things as teacher attitude, administrative support, culture of collaboration, use of assistive technology, etc.

11. Develop a written plan to remove impediments to serving students with disabilities with typically developing peers to the maximum extent appropriate.

Cluster 6: Special Education Populations Worksheet
If the Population Falls Below the Standard

1. Review the public information the PEA has available such as a website, print ads, brochures, etc. Is there any information on it to make the public aware that SPED services are available? What is the PEA doing within the community to notify people of the availability of special education services within the school?

2. Review the Enrollment Form. Are there questions/items that specifically mention special education or disabilities? Does the tone of the reference encourage or discourage parents of students with disabilities from enrolling in the school?

3. Analyze the PEA's child find process for students who are first enrolled in the school. Is it sufficiently comprehensive to alert staff to students who are in need of additional assistance and/or a special education evaluation?

4. Determine what curriculum based measures are currently being used to monitor progress in the general education program. What follow-up strategies are used when a student is not making adequate progress?

5. Review the evaluations of children who did not qualify for SPED and are still enrolled in the school. Describe how well they are doing including behavioral/discipline records, report card grades, classroom progress and scores on AIMS and Terra Nova tests. Is there any indication that perhaps the decision to qualify for special education should be reconsidered?

6. Review the records of students who have been retained a grade. What measures are being taken to support those students and has the possibility of a disability been investigated when appropriate?

7. Determine how you would proceed if you had a student enroll with needs in the following areas: occupational therapy, physical therapy, hearing impairment, visual impairment, psychological or counseling needs, vision and hearing screenings.

8. What procedure would the PEA follow to provide services for a child whose needs exceeded the services typically offered by the PEA?

9. Review the records of students with disabilities who were suspended from school and subsequently disenrolled or dropped out. What measures were being taken to support these students prior to them leaving? Is there any evidence that the students were encouraged to seek enrollment elsewhere – were students with difficult behaviors "pushed out"?

10. After reviewing the records of SPED students who have left your school, have you asked any of the parents for their reason for leaving? If so, what responses did you receive and have you adjusted your program in response to the comments?

11. Develop a written plan to remove any obstacles to the enrollment or identification of students with disabilities in the PEA.

Cluster 6: Special Education Populations Worksheet
If the Population Falls Above the Standard

1. Describe any training staff has received in the areas of:

   a. Behavior management
   b. Diverse learners
   c. Instructional strategies such as learning styles
   d. Collaboration skills
   e. Accommodations
   f. Assistive technology

2. Describe the PEAs Child Study Team process. Make sure to include what and for how long accommodations are being used prior to referral to Special Education.

3. Identify the PEA's 504 Coordinator? Describe the training this person has received. Has the staff received any training to understand the differences between a child needing a 504 Plan and SPED?

4. Review the evaluations over the last 3 years (if your SPED population is less than 50 students otherwise do the review for 1 year). What is the percentage of students found **not** eligible? If there are no such students, describe who on your evaluation staff has expertise in the following categories: ED, MR, A, SLD, SLI.

5. Review the home language surveys of children in special education. For those children whose primary language is other than English, were the assessments administered in the language most likely to yield valid results? Is there any indication that the PEA is using special education as a vehicle for assisting children with language differences?

6. Describe what factors the PEA has used to determine that an educational disadvantage has **NOT** occurred (ex: excessive absences, home schooled, frequent school changes, etc.). How many times has this been used to disqualify a child for a potential SPED placement over the last 3 years (if your SPED population is less than 50 students otherwise do the review for 1 year)?

7. Review the IEPs of students currently receiving services. Of those receiving indirect or consultative services only, determine the student's progress (AIMS, Terra Nova, classroom performance, etc.). Is it reasonable that some of those children should be reevaluated for dismissal from special education?

8. What curriculum based measures are currently being used in the general education classroom to monitor progress? What follow up strategies are used when a student is not making adequate progress? Does the PEA have in place a multilevel intervention strategy for students who are falling behind?

9. Describe any unique or special circumstances ADE needs to know in order to understand the reason why the percentage may be higher than expected.

10. Develop a written plan to address the underlying causes for the over identification of students as students with disabilities in the PEA.

Cluster 6: Disproportionality Analysis Worksheet

1. Examine your ethnicity enrollment in each disability category. When examining your numbers, compare yourself to the state as a whole.

   a. Which ethnicities have high enrollment in ED (including ED-P), MR, OHI, SLI, Autism or SLD? Describe below.
   b. Are there any ethnicities with unusually low enrollment in these disability categories? Describe below.

2. Identify any possible variables that have contributed to over- or under-representation of certain ethnicities in the identified categories. Describe below.

   a. Examine closely your transfer student information and list the students in each of the categories who are currently receiving services in your education agency1 but who were not identified in your education agency. List and analyze below.
   b. Are there any other mitigating circumstances that could help explain your data if your data suggests that there is over-representation (i.e., consider the possibility of a high number of group homes in your education agency which may serve a particular category of students). Describe below.

3. Describe the pre-referral intervention procedures in each school in your agency. If the implementation of the agency's procedures differ between schools, analyze the referral and identification rates for each site and consider the impact of the pre-referral processes on those numbers.

4. List below all the cognitive, academic, and behavioral measures used to evaluate students for special education placement.

5. After reviewing the above measures, answer the following questions:

   a. Does your education agency have sufficient numbers of personnel with the proper training to administer and to interpret these assessments? If not, could this lack of either personnel or proper training have led to over-representation or under-representation?
   b. After reviewing the measures and their sampling data, are the measures identified above non-biased and appropriate assessments for use with the populations in question?

   In the event you have found exceptions with either or both of (a) and (b) above, how will you correct the situation? Be specific in your action plan.

6. Describe the nature of training and dates your education agency has provided training on such matters as cultural awareness for minority populations, implications of poverty for teaching and assessment, minority assessment, etc. to personnel involved in pre-referral, referral, evaluation, and placement. Respond below.

   a. Are you satisfied with your education agency's training and in-service efforts in this area?
      (a) _____YES   _____NO
   b. If not, what will you do to improve in this area? Identify professional development activities for staff to be undertaken with expected completion dates.

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1 Include any private school tuitioned students for which your education agency pays (non-voucher students).

7. Based upon your analyses and a finding of disproportional representation of one or more minority groups in your education agency, and a belief that your data is justified, please describe the factors which you believe have contributed to the over- or under-representation?

8. Where you have found unjustified disproportionality, what specific actions will you take to address and correct the situation? Be specific and provide timelines for implementation of corrective actions. Please respond below.